

(19) World Intellectual Property Organization  
International Bureau



(43) International Publication Date  
23 May 2002 (23.05.2002)

PCT

(10) International Publication Number  
**WO 02/41558 A2**

- (51) International Patent Classification<sup>7</sup>: **H04L**
- (21) International Application Number: PCT/US01/45799
- (22) International Filing Date:  
15 November 2001 (15.11.2001)
- (25) Filing Language: English
- (26) Publication Language: English
- (30) Priority Data:
- |               |                               |    |
|---------------|-------------------------------|----|
| 09/715,992    | 16 November 2000 (16.11.2000) | US |
| 09/800,397    | 5 March 2001 (05.03.2001)     | US |
| 608187,194    | 6 March 2001 (06.03.2001)     | US |
| 09/974,030    | 10 October 2001 (10.10.2001)  | US |
| Not furnished | 24 October 2001 (24.10.2001)  | US |
| Not furnished | 24 October 2001 (24.10.2001)  | US |
- (71) Applicant: **PACIFIC BROADBAND COMMUNICATIONS, INC.** [US/US]; 3103 North First Street, San Jose, CA 95134 (US).
- (72) Inventors: **LIVA, Valentino**; 954 Leonello Avenue, Los Altos, CA 94024 (US). **SHARMA, Alok**; 2272 Quail Bluff Place, San Jose, CA 95121 (US).
- (54) Title: **ENHANCED FIBER NODES WITH CMTS CAPABILITY**
- (57) Abstract: Enhanced Cable Modem Termination System (CMTS) functionality, including programmable digital dimain modulators and demodulators for dynamic channel assignment, is incorporated into Fiber Nodes (FNs) or mini Fiber Nodes (mFNs), yielding enhanced Fiber Nodes (eFNs). These eFNs distribute CMTS functionality deep into Hybrid-Fiber-Coax Networks (HFCN) rather than centralizing the CMTS functions within a single location. Moving the cable modem terminations closer to the subscribers shortens the analog RF paths required to support cable modems. Communication of both subscriber data and CMTS control data is performed over Ethernet-compatible packet networks between the field-based CMTS and an upstream facility (e.g., the Head End), which includes an Internet gateway. Packet data for multiple subscriber cable modems is easily compressed and merged over common network paths, reducing cabling plant complexity and increasing badwidth utilization. This approach dramatically reduces the indrastructure cost per cable modem. Distributing CMTS functionality among multiple eFNs also reduces demands on already stretched resources at the Head End for space, power, and HVAC. For HFCN channels containing signals with modulation or encoding schemes that are unknown or best processed upstream, the invention also provides for tunneling their spectrum over the same packet network as used for the cable modem data. The channels to be tunneled are isolated using digital receivers, translated to baseband, their data framed, merged with cable modem subscriber data, and transmitted over the packet network. Upstream, the framed channel data is parsed and the original channel spectru, reconstructed to permit information recovery.
- (81) Designated States (*national*): AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, BZ, CA, CH, CN, CO, CR, CU, CZ, DE, DK, DM, DZ, EC, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA, UG, UZ, VN, YU, ZA, ZM, ZW.
- (84) Designated States (*regional*): ARIPO patent (GH, GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZM, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE, TR), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GQ, GW, ML, MR, NE, SN, TD, TG).
- Published:  
— *without international search report and to be republished upon receipt of that report*
- For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.*

**BEST AVAILABLE COPY**

**WO 02/41558 A2**

1                   **ENHANCED FIBER NODES WITH CMTS CAPABILITY**

2  
3                   **CROSS REFERENCE TO RELATED APPLICATIONS**

4  
5   **[0001]**           This application is a Continuation-in-Part of the following patent  
6   applications, the disclosures of which are herein incorporated by reference for all  
7   purposes:

8                   U.S. Patent Application Ser. No. 09/715,992, entitled "METHODS AND  
9   APPARATUS FOR TRANSMISSION OF ANALOG CHANNELS OVER  
10   DIGITAL PACKET-BASED NETWORKS," Liva et al., filed November 16,  
11   2000; and

12                  U.S. Patent Application Ser. No. 09/800,397, entitled "TRANSCIVER  
13   CHANNEL BANK WITH REDUCED CONNECTOR DENSITY," Alok  
14   Sharma, filed March 5, 2001, which in turn claims priority to U.S. Provisional  
15   Patent Application Ser. No. 60/187,194, entitled "FREQUENCY AGILE  
16   DIGITAL TRANSCIVER BANKS HAVING NON-UNIFORM CHANNEL  
17   WIDTH AND REDUCED CONNECTOR DENSITY," Alok Sharma, filed  
18   March 6, 2000.

19   **[0002]**           This application also incorporates by reference the following patent  
20   applications: Docket No. PBC.2000.108, entitled "ENHANCED CMTS FOR  
21   RELIABILITY, AVAILABILITY, AND SERVICEABILITY," Liva et al., filed October  
22   24, 2001; and U.S. Patent Application Ser. No. 09/974,030, entitled "MULTIPLE  
23   INPUT, MULTIPLE OUTPUT CHANNEL, DIGITAL RECEIVER TUNER," Fabien  
24   Buda, filed October 10, 2001.

## BACKGROUND

[0003] In traditional Hybrid Fiber-Coax (HFC) systems for Cable Television systems, Fiber Nodes (FN) are intermediate sub-systems in an overall information distribution network hierarchy. From least to highest bandwidth concentration, the network hierarchy includes subscribers (generally homes), FNs, secondary hubs (SHs), primary hubs, and the headend.

[0004] FNs interface with the SHs optically and interface with the subscribers over active RF coaxial networks (i.e., networks of coaxial cable interspersed with active RF distribution amplifiers as required for signal integrity). FNs may serve between 600 and 1200 subscribers. This can be accomplished by segmenting the total number of subscribers into "buses" of 300 subscribers. A cascade of five to eight RF amplifiers may exist between the FN and any given subscriber. Four to six fibers may couple the FN to a SH.

[0005] Figs. 1A through 1C illustrate a prior-art HFC cable system having return channels wherein the primary processing is performed at the cable Head End. These return channels can include DOCSIS signals from cable modems and so-called legacy signals, which include conventional analog telephone signals and RF modulated digital signals with proprietary encoding schemes that remain encoded until receipt at the head end. Fig. 1A is a top-level view of the cable system, including the cable system head-end and the customer premises equipment (CPE). Fig. 1B provides additional detail of the CPE of Fig. 1A. Fig. 1C provides additional detail of the NID of Fig. 1B.

[0006] Recent variants to the above HFC architecture have been based on so-called mini fiber nodes (mFNs), a FN variant that is both smaller and deeper into the network (closer to the subscriber) than a traditional FN. Fig. 2A illustrates an HFCN

1 incorporating such mFNs in conjunction with FNs. The mFNs are generally  
2 distinguished from FNs in that they interface with only 50 to 100 subscribers and the  
3 path from mFN to subscriber is via an all passive coaxial network. The mFN distributes  
4 downstream information to the subscribers and aggregates upstream information from  
5 subscribers. The mFN interfaces via optical fiber to the next higher level in the  
6 hierarchy.

7 **[0007]** There are many possible topologies for mFN-based HFC systems and the  
8 exact functionality of an mFN will vary with the system topology. In a first example,  
9 MFNs can be used as part of a fiber overlay to upgrade traditional “trunk-and-branch”  
10 coaxial systems, or HFC systems with downstream only FNs, with return path (upstream)  
11 services (e.g., for Cable Modems). In such applications, the optical return (upstream)  
12 path is routed from the mFN directly to the SH, bypassing the downstream only path  
13 (which in an HFC system includes FNs). This in effect configures each line extender  
14 with a return fiber that provides each passive span with a unique return spectrum. Figs.  
15 2A and 2B illustrate such a prior-art HFC cable system having a packet fiber overlay  
16 using mini-FiberNodes (mFNs). Fig. 2A is a top-level view of the HFC/mFN cable  
17 system. Fig. 2B provides additional detail of the mFNs of Fig. 2A. In a second example,  
18 mFNs can be used with “MuxNodes” that replace a single FN or consolidate multiple  
19 FNs. MuxNodes not only “distribute” (demultiplex) information downstream but also  
20 “aggregate” (multiplex) information upstream (from subscriber to provider).

21 **[0008]** In either architecture – using FNs or mFNs, or a combination of the two –  
22 the bandwidth of the upstream path from an FN or mFN has previously been inefficiently  
23 utilized. The FN or mFN has heretofore re-transmitted the entire 5-42 MHz return  
24 spectrum to upstream hubs, though in most cases only a small portion of that spectrum is  
25 actually desired or will be utilized. The entire spectrum has been transmitted upstream

1 because the bulk, cost and power consumption of the equipment required to process the  
2 upstream signal and pass on only the desired components has prohibited its deployment  
3 in the field.

4 **[0009]** In previous systems every upstream channel has required a respective  
5 splitter tap, receiver input including a bulkhead-mount connector, and cabling between  
6 the splitter tap and the receiver input. Such components, especially the high number of  
7 connectors, add cost and bulk that would otherwise not be expended, as well as  
8 introducing new noise. Additionally, previous systems have required manual  
9 adjustments or manual changing of plug-in components, in order to provision or  
10 reprovision a channel.

11 **[0010]** The aforementioned manual configurations of cabling and channel  
12 adjustments have been necessary at initial installation and often many times thereafter.  
13 Node recombining (e.g., manual recabling to pair a new logical channel with a new line  
14 card) has often been necessary whenever an existing subscriber channel reaches capacity  
15 and additional channels need to be assigned. Manual channel reprovisioning has also  
16 been frequently necessary to avoid various sources of ingress noise, which varies both in  
17 time and channels affected.

18 **[0011]** What is needed is an ability to efficiently process upstream signals in a  
19 cost- and space-effective way that can be done close to the subscriber, that reduces  
20 hardware-introduced noise and minimizes the need for manual intervention when  
21 reprovisioning a channel.

22 **[0012]** A general discussion of HFC architectures, with a particular focus on  
23 mFN-based systems, is provided by the article "HFC architecture in the making: Future-  
24 proofing the network," by Oleh Sniezko, et al, in the July 1999 issue of Communications

1 Engineering & Design Magazine (CED Magazine), published by Cahners Business  
2 Information, a member of the Reed Elsevier plc group.

3 [0013] "DOCSIS" is a family of interoperability certification standards for cable  
4 modems. "OpenCable" is a family of interoperability specifications directly and  
5 indirectly related to digital set-top box hardware and software interfaces. "PacketCable"  
6 is a family of specifications aimed at facilitating real-time, multimedia packet-based  
7 services, using a DOCSIS-managed regional access network as the foundation. While  
8 having broad applicability, an initial focus of PacketCable is VoIP (Voice over Internet  
9 Protocol). Cable Television Laboratories, Inc. (CableLabs), with offices in Louisville,  
10 Colorado, is a research and development consortium of North and South American cable  
11 television operators. CableLabs manages, publishes, and distributes a number of  
12 specifications and certification standards related to various aspects of Cable Television  
13 systems, including the DOCSIS, OpenCable, and PacketCable standards families.

14 [0014] The International Telecommunications Union (ITU), headquartered in  
15 Geneva, Switzerland, is "an international organization within which governments and the  
16 private sector coordinate global telecom networks and services." The ITU manages,  
17 publishes, and distributes a number of international telecom related standards. Standards  
18 relevant to Cable Television systems include the ITU-T Series H Recommendations and  
19 the ITU-T Series J Recommendations. The "-T" stands for Telecommunications. Series  
20 H covers all ITU-T standards for "audiovisual and multimedia systems." Series J covers  
21 all ITU-T standards for "transmission of television, sound programme and other  
22 multimedia signals."

23

24

25

## SUMMARY

- 1  
2
- 3 **[0015]** An enhanced CMTS, or “mini-CMTS,” as taught herein, includes  
4 programmable digital domain modulators and demodulators that permit dynamic channel  
5 assignment. These DOCSIS-compliant CMTSs are characterized by high functional  
6 density, a compact form factor, low power consumption, and integral support for the  
7 merging of analog and digital channels for transmission over digital packet networks.
- 8 **[0016]** The digital demodulator section of the enhanced CMTS digitizes the  
9 entire return spectrum on each of multiple upstream inputs, each of which may include  
10 multiple upstream channels with no particular interrelationship. The digitized result is  
11 then bussed to the inputs of multiple all-digital receivers. Each receiver demodulator  
12 channel may be remotely, automatically, dynamically and economically configured for a  
13 particular cable, carrier frequency and signaling baud-rate, from an option universe that  
14 includes a plurality of input cables, a plurality of carrier frequencies, and a plurality of  
15 available baud-rates.
- 16 **[0017]** Implementing all processing of each upstream channel in digital circuitry,  
17 including any baseband translation and filtering for channel selection, minimizes the  
18 number of required A/Ds, number and extent of clock sub-systems, bit-width of digital  
19 processing stages, and overall complexity. The enhanced CMTS architecture reduces  
20 connector density, reduces costs and other bulk components, and improves the system  
21 noise performance.
- 22 **[0018]** The enhanced CMTSs are incorporated into Fiber Nodes (FNs) or mini  
23 Fiber Nodes (mFNs), yielding enhanced Fiber Nodes (eFNs). These eFNs distribute  
24 CMTS functionality deep into Hybrid-Fiber-Coax Networks (HFCN) rather than  
25 centralizing the CMTS functions within a single location. Moving the cable modem

1 terminations closer to the subscribers shortens the analog RF paths required to support  
2 cable modems. Communication of both subscriber data and CMTS control data is  
3 performed over Ethernet-compatible packet networks between the field-based CMTSs  
4 and an upstream facility (e.g., the Head End), which includes an Internet gateway.

5 **[0019]** The distributed CMTS and packet network approach has many benefits.  
6 The data from multiple cable modems (after being demodulated by the CMTS from the  
7 received analog RF) and other upstream sources (to be discussed) is easily compressed,  
8 merged, and packet transmitted over common upstream network paths. The downstream  
9 data for multiple subscriber cable modems is likewise easily compressed, merged, and  
10 packet transmitted over common downstream network paths (for subsequent modulation  
11 by the CMTS). The compression, merging, and use of common paths, both reduces  
12 complexity and increases bandwidth utilization of the fiber plant, and thus reduces the  
13 fiber plant infrastructure cost per cable modem. Distributing CMTS functionality among  
14 multiple eFNs also reduces demands on already stretched resources at the Head End for  
15 space, power, and HVAC.

16 **[0020]** Dynamic channel allocation (including assignment and configuration)  
17 eliminates otherwise time-consuming and costly manual provisioning and re-  
18 provisioning of the enhanced CMTSs associated with installation and servicing.  
19 Dynamic channel allocation can also dramatically reduce the need to do manual node  
20 recombining (prompted by overcapacity situations) or manual channel reprovisioning  
21 (prompted by ingress noise). Channel selection and channel characteristics may be  
22 configured by transmission of a Channel Table Management Information Block (MIB),  
23 supplied over the packet network.

24 **[0021]** Dynamic channel assignment and configuration can be used manually or  
25 under programmed control to permit the headend to perform remote spectrum sampling



1 at the eFN, via DSP-based translation, packet-based transmission, and subsequent  
2 reconstruction of the original spectra. Such remote sampling has a number of broad  
3 applications beyond those previously discussed, including signal monitoring, end-to-end  
4 Frequency Division Multiplexing (FDM), telemetry, and remote status monitoring.

5 [0022] More broadly, programmable channel assignment and configuration  
6 enables multiple communication channels, unrelated in function or frequency, to be  
7 isolated out of a wider spectrum and then efficiently combined and commonly  
8 transmitted over a network. The ability to combine multiple diverse streams provides  
9 greater functional density and significant savings in power, bandwidth, and cost  
10 compared to previous indiscriminate entire spectrum approaches to transmitting analog  
11 channels over networks.

12 [0023] In contrast to cable modem signals, which are readily demodulated to  
13 extract their underlying data, there are other channels (e.g., certain legacy telephony  
14 services) containing signals with modulation or encoding schemes that are unknown or  
15 best processed upstream. For these other channels, the invention provides for tunneling  
16 their spectrum over the same packet network as used for the cable modem data. It is  
17 possible to tunnel upstream only one, or several channels, as desired. If multiple  
18 channels are to be tunneled, they need not occupy a contiguous spectrum. The channels  
19 to be tunneled are isolated using digital receivers, translated to baseband, their data  
20 framed, merged with cable modem subscriber data, and transmitted over the packet  
21 network. Upstream, the framed channel data is parsed and the original channel spectrum  
22 reconstructed to permit information recovery.

23 [0024] This tunneling approach is particularly advantageous when it is not  
24 practical or possible to locally decode a particular channel's spectra within a larger local  
25 spectrum due to technical, financial, legal, or other restrictions. Instead of local

1 decoding, the present invention transmits a digitized version of just the desired encoded  
2 spectra across a packet network to a remote site where it is practical or possible to  
3 perform the decoding. The original signal is then reconstructed and decoded using  
4 otherwise legacy methods.

5 [0025] The present invention thus provides a selective and efficient use of  
6 available bandwidth, in that it is not necessary to transmit the entire spectrum, when only  
7 one or few portions of the spectrum are desired. Furthermore, any or all packet data  
8 transmitted between the eFN and an upstream hub or head end may be selectively  
9 compressed. Both the selective transmission of upstream channels and the compression  
10 of data reduce bandwidth requirements all along the transmission path, contributing to  
11 reductions in power, cost, and size of the associated infrastructure.

12 [0026] Example network services compatible with and directly or indirectly  
13 supported by the present invention include DOCSIS cable modem (CM) services, VoIP  
14 (including compliance with the PacketCable standard) as well as legacy HFC telephony  
15 services, NVOD, VOD, compliance with OpenCable standards, and broadcast analog and  
16 digital video.

17

## 18 NOMENCLATURE

19

20 [0027] In the communications industry certain common terms find repeated  
21 application at different levels of the design hierarchy and otherwise may be used with  
22 varying scope. As a result, it is possible that terms used in this application have multiple  
23 context-dependent meanings. Particular attention is required with regard to the terms  
24 demodulator, receiver, tuner, and front-end. Those skilled in the art will always be able

1 to readily ascertain the correct meaning from careful study of the text and accompanying  
2 drawings.

3

4

#### Brief Description of Drawings

5

6 **[0028]** Figs. 1A through 1C illustrate a prior-art HFC cable system having legacy  
7 return channels. Fig. 1A is a top-level view of the cable system. Fig. 1B provides  
8 additional detail of the CPE of Fig. 1A. Fig. 1C provides additional detail of the NID of  
9 Fig. 1B.

10

11 **[0029]** Figs. 2A and 2B illustrate a prior-art HFC cable system having a packet  
12 fiber overlay using mini-FiberNodes (mFNs). Fig. 2A is a top-level view of the  
13 HFC/mFN cable system. Fig. 2B provides additional detail of the mFNs of Fig. 2A.

14

15 **[0030]** Figs. 3A through 3D illustrate an eFN (enhanced Fiber Node), in  
16 accordance with the present invention. Fig. 3A is a top-level view of the eFN. Fig. 3B  
17 provides additional detail of the DSP Multi-Channel Transceiver ASIC of Fig. 3A. Fig.  
18 3C provides detail of the underlying structure for the MAC processor and shared memory  
19 of Fig. 3A. Fig. 3D provides additional detail of the Analog Combine and Split  
20 Functions of Fig. 3A.

21

22 **[0031]** Figs. 4A through 4E illustrate conceptually the process of digitizing a  
23 legacy upstream channel. Fig. 4A shows the 5-42MHz return spectrum, including a  
24 desired 6MHz legacy return channel. Fig. 4B represents a low-pass (anti-alias) filtering  
25 operation performed in the analog domain. Fig. 4C represents a band-pass (channel

1 isolation) operation performed in the digital domain. Fig. 4D represents a resampling  
2 (baseband conversion) operation in the digital domain. Fig. 4E represents a low-pass  
3 filter and decimation operation performed in the digital domain.

4  
5 **[0032]** Fig. 5 illustrates the layer 2 encapsulation of digitized return channel data.

6  
7 **[0033]** Fig. 6 illustrates the layer 3 encapsulation of digitized return channel data.

8  
9 **[0034]** Figs. 7A and 7B illustrate the system environment for an HFC cable  
10 system having a packet fiber overlay using eFNs, in accordance with the present  
11 invention. Fig. 7A is a view that focuses on the relationship between the head-end and  
12 the customer premises. Fig. 7B is a view that focuses on the relationship between the  
13 cable-system head-end and other networks. Fig. 7C is a view that focuses on the  
14 relationship between the eFN and the Master DAC Controller.

15  
16 **[0035]** Fig. 8 illustrates an alternate embodiment for an HFC cable system having  
17 a packet fiber overlay using eFNs, in accordance with the present invention.

18  
19 **[0036]** Fig. 9 provides internal detail of the PDC, Extraction, and Reconstruction  
20 block of Fig. 7A.

21  
22 **[0037]** Fig. 10 provides internal detail of the Return Channel Reconstruction  
23 block of Fig. 9.

24

1   **[0038]**        Fig. 11 illustrates the relationship between MAC functions in the MAC  
2    processor and shared memory of Fig. 3A.

3

4   **[0039]**        Fig. 12 provides internal detail of the downstream transmitter functions  
5    implemented on a per-channel basis.

6

7   **[0040]**        Fig. 13 illustrates sub-functions of the FEC block of Fig. 12.

8

9   **[0041]**        Fig. 14 provides internal detail of the front-end(s) 6000 of Fig. 3B.

10

11   **[0042]**        Fig. 15 provides internal detail of the Legacy Digitizing Framer And  
12    Return DSP 15 of Fig. 3B.

13

14   **[0043]**        Fig. 16 illustrates the DOCSIS-specific return receiver functions  
15    implemented on a per-channel basis.

16

17

18

## DETAILED DESCRIPTION

System Overview

[0044] Figs. 3A through 3D illustrate what the applicant refers to as an eFN (Enhanced FN), in accordance with the present invention. The eFN is a Fiber Node or mini Fiber Node (mFN) that includes a “mini-CMTS.” As the term is used herein, a mini-CMTS is an enhanced CMTS that is characterized by high functional density, a compact form factor, low power consumption, and integral support for the merging of analog and digital channels for transmission over digital packet networks. The mini-CMTS of the present invention provides a highly compact and cost-effective implementation, including a substantial reduction in the number of bulky connectors required. Additional illustrative detail of various aspects of the eFN and its CMTS is available in the following applications (previously incorporated by reference, above): “ENHANCED CMTS FOR RELIABILITY, AVAILABILITY, AND SERVICEABILITY,” “TRANSCIEVER CHANNEL BANK WITH REDUCED CONNECTOR DENSITY,” and “MULTIPLE INPUT, MULTIPLE OUTPUT CHANNEL, DIGITAL RECEIVER TUNER.”

[0045] Systems of various size and scope that employ eFNs are shown in Fig. 7A, Fig. 7B, Fig. 7C, and Fig. 8. In an illustrative embodiment, in the subscriber direction the eFN interfaces with 50-70 residential subscribers (households passed, HHP) via coaxial RF interface (RF cable). In the headend direction, the eFN interfaces to a Master DAC Controller over a packet network, preferably via fiber. The packet network between the eFN and the Master DAC Controller may be basic, as suggested by Fig. 7C, or more complex, as suggested by Fig. 7B and Fig. 8. Figs. 9 through 16 provide additional detail of various portions of the above mentioned eFN-based systems.

1    **[0046]**           In an illustrative embodiment, 100 Mbps Ethernet is used over separate  
2    upstream and downstream fibers coupling the Head End (or a Secondary Head End, SH)  
3    to each of up to 8 daisy-chained eFNs via respective SONET/DWDM Add/Drop  
4    Multiplexers. In a first illustrative embodiment, the mini-CMTS **9000** of each eFN  
5    incorporates two downstream (DS) and four upstream (US) channels. These four  
6    available selectable US channels are provided by a single physical digitized input. The  
7    two DS channels are fully DOCSIS compliant. Two of the available selectable US  
8    channels per input are fully DOCSIS compliant and the other two available selectable US  
9    channel per inputs support legacy (proprietary) channels.

10   **[0047]**           In a second illustrative embodiment, the mini-CMTS **9000** of each eFN  
11   incorporates four downstream (DS) and sixteen upstream (US) channels. Four available  
12   selectable US channels for each of four physical digitized inputs provide the sixteen US  
13   channels. The four DS channels are fully DOCSIS compliant. In a first variation, all  
14   four of the available selectable US channels per input are fully DOCSIS compliant. In a  
15   second variation, three of the available selectable US channels per input are fully  
16   DOCSIS compliant and the other available selectable US channel per input supports a  
17   legacy (proprietary) channel.

18   **[0048]**           Clearly, as capacity requirements dictate, embodiments having higher rate  
19   packet interfaces and additional US and DS channels are readily extrapolated from the  
20   first illustrative embodiment. The mini-CMTS is compatible with and directly or  
21   indirectly supports analog and digital modulated TV signals, DOCSIS cable modem  
22   services, VoIP (based on PacketCable or other standards), compliance with OpenCable  
23   standards, legacy telephony and set top boxes.

24   **[0049]**           The downstream data received from a regional packet network (or other  
25   WAN) via 100 Mbps Ethernet protocol is presented via the mini-CMTS's MAC to the

1 downstream modulator formatted in 188 bytes MPEG frames which are, in turn, coded  
2 and modulated into a 44 MHz IF signal. The MPEG stream is compatible with and  
3 encapsulates DOCSIS frames.

4 [0050] The analog return spectrum (5-42MHz) is digitized and selected upstream  
5 DOCSIS channels are demodulated and the data extracted. The packets are delivered by  
6 the DOCSIS MAC to the Ethernet interface and then transferred optically to the Head  
7 End (or SH) via the packet network.

8 [0051] Similarly, from the same digitized analog return spectrum (5-42MHz)  
9 legacy channels are selected, converted, and packetized into Ethernet frames using either  
10 a layer 2 or layer 3 protocol. These frames are forwarded to the cable Head End by  
11 commercially available switches. At the Head End, a Master DAC Controller extracts  
12 the bit streams from the Ethernet frames and recovers the analog channels. Figs. 4A  
13 through 4E illustrate conceptually the process of digitizing a legacy upstream channel.  
14 Fig. 5 illustrates the layer 2 encapsulation of digitized return channel data. Fig. 6  
15 illustrates the layer 3 encapsulation of digitized return channel data.

16 [0052] This selection of only desired return channels to be forwarded upstream  
17 yields a more efficient utilization of US bandwidth.

18

#### 19 Mini-CMTS

20 [0053] Fig. 3A is a top-level view of the eFN. The eFN includes an optical  
21 add/drop multiplexer, power extraction and distribution functions, Analog Combine and  
22 Split Functions 3D, and the mini-CMTS 9000. The mini-CMTS 9000 is made up of  
23 D/As 9020, A/Ds 9010, DSP Multi-Channel Transceiver ASIC 3B, and the MAC  
24 Processor and Shared Memory. The mini-CMTS is implemented on a PCB assembly  
25 that includes the DSP Multi-Channel Transceiver ASIC (also referred to as the HFC-



1 ASIC), a Media Access Control (MAC) processor and shared memory block, a plurality  
2 of D/As, and one or more A/Ds. Fig. 3B provides additional detail of the DSP Multi-  
3 Channel Transceiver ASIC of Fig. 3A. Fig. 3C provides detail of the underlying  
4 structure for the Mac processor and shared memory of Fig. 3A. The MAC structure  
5 includes a micro-controller, a communications controller configured as an Ethernet  
6 interface, RAM, non-volatile memory, and a multi-master bus.

7

#### 8 Overview of the Analog Combine and Split Functions

9 [0054] Over the coaxial RF interface, the mini-CMTS supports DOCSIS  
10 MAC/PHY services over a number of upstream and downstream channels. The 5-42  
11 MHz upstream spectrum from the legacy analog distribution generally includes both  
12 DOCSIS channels and legacy channels. This upstream is isolated by appropriate filtering  
13 and provided to one or more digitization paths (the optional additional paths being  
14 represented via dashed lines in Fig. 3A and Fig. 3D), each digitization path including  
15 AGC and A/D circuitry.

16 [0055] Fig. 3D provides additional detail of the Analog Combine and Split  
17 Functions of Fig. 3A. In an illustrative embodiment, IF-to-RF upconverters are provided  
18 for two digital downstream DOCSIS channels. Optionally, upconverters may be added  
19 for one or more legacy broadcast channels. Combiners stack the upconverted channels  
20 from the DSP Multi-Channel Transceiver ASIC along with downstream channels  
21 originating from the Legacy Analog Coax and Legacy Analog Fiber. Clearly, the  
22 upconverters and combiners must meet the constraints associated with eFN usage. In an  
23 illustrative embodiment the IF-to-RF upconverters are addressable via an integral I2C  
24 industry standard bus and meet the specifications provided in Table 1 through Table 3,  
25 below.

**Table 1 IF-to-RF Physical Requirements**

Parameter	Value(s)
Power Supplies	+5V, +12V
Ambient Temp.	-40 C to +85 C

**Table 2 IF-to-RF IF Input Requirements**

Parameter	Value(s)
IF frequency	44MHz
Bandwidth	6MHz
Input level	+25 to +35 dBmV
IF attenuator step-size	1 dB (0.1dB preferred)
AGC	enable/disable

**Table 3 IF-to-RF RF Output Requirements**

Parameter	Value(s)
Frequency	550-870 MHz
Frequency step	50KHz or better
Frequency accuracy	2ppm
Gain control	+45 ~ +61dBmV
Spurious emissions, 50-900MHz	-60dBc
Modulated Adj. Noise, 3.75-9MHz	< -62dBc
Carrier mute	automatic upon frequency change

## Overview of the DSP Multi-Channel Transceiver ASIC

**[0056]** In an illustrative embodiment, the ASIC 3B includes bus interface 6075, transmitter 6050, and receiver 6025. The transmitter and receiver respectively include modulators and demodulators designed to meet the DOCSIS specifications. The receiver also includes processing for legacy return channels.

**[0057]** The bus interface 6075 provides access to the multi-master bus and thus couples both the transmitter and receiver to the MAC processor and shared memory 11. In the illustrative embodiment of Fig. 3B, a single bus controller is shared by the transmitter and receiver. The transmitter and receiver are shown coupled to the bus controller via interconnect and buffering 9080. Those skilled in the art will recognize

1 that other methods of coupling to the multi-master bus are available and equivalent  
2 within the overall context of the present invention.

3 **[0058]** The transmitter includes a number of function blocks common across all  
4 channels as well as channel-specific blocks. The common functions include downstream  
5 MAC H/W functions **9060** (i.e., those DS MAC functions implemented in hardware) and  
6 downstream convergence layer functions **9050**. The downstream MAC H/W functions  
7 block **9060** can pass extracted messages for local control **9061** to the upstream MAC  
8 H/W functions block **9040**. Multi-channel modulator block **6020** includes a DOCSIS  
9 modulator and forward DSP block **12** for each transmit channel. The transmitter receives  
10 an MPEG-compatible stream for each channel (two in an illustrative implementation)  
11 and delivers a corresponding downstream IF output signal at 44 MHz.

12 **[0059]** The receiver includes a front-end **6000**, channel-specific processing **6010**,  
13 a RS decoder and Descrambler **9030**, and Upstream MAC H/W functions **9040**. Fig. 14  
14 provides additional detail of Front-end **6000**. Front-end **6000** includes separate front-  
15 ends **6005** for each channel. Separate digitized signal outputs are provided for each  
16 channel; collectively these outputs comprise signals **1900**. In an illustrative  
17 embodiment, at least some channel outputs from **6000** include I and Q quadrature pairs  
18 for a given channel. At least one digitized return signal is provided to front-end **6000**. In  
19 a preferred embodiment, each of a plurality of provided digitized return signals,  
20 corresponding to respective external A/Ds and associated analog input circuits, is  
21 selectively coupled to one or more of the individual front-ends **6005**.

22 **[0060]** The front-end channel outputs are provided to the channel-specific  
23 processing within block **6010**. These channel outputs generally correspond to both  
24 DOCSIS and legacy return channels. Each DOCSIS channel (2 in a first illustrative  
25 embodiment) output from the front-end is processed in a DOCSIS Demodulator and

1 Return DSP block **16**. As depicted in Fig. 16, this block provides demodulation of the  
2 TDMA upstream transmissions originating from Cable Modems or Set Top boxes. The  
3 DOCSIS Demodulator and Return DSP logic **16** provides the MAC layer with channel  
4 profile information, including timing, power, and frequency estimation data. The  
5 demodulator outputs of each DOCSIS Demodulator and Return DSP block **16** are  
6 collectively provided to the RS Decoder and Descrambler **9030**, the output of which is  
7 coupled to the Upstream MAC H/W Functions **9040**. The legacy channels (2 in a first  
8 illustrative embodiment) output by the front-end are processed in Legacy Digitizing  
9 Framer and Return DSP block **15**, the output of which is also coupled to the Upstream  
10 MAC H/W Functions **9040**.

11

#### 12 Details of the ASIC Transmitter Functions

13 **[0061]** The Downstream Transmission Convergence (DTC) Layer block **9050**  
14 provides an opportunity to transmit additional services, such as digital video, over the  
15 physical-layer bitstream. This function provides at its output a continuous series of 188-  
16 byte MPEG packets compatible with ITU-T H.222.0, each constituting of a 4-byte header  
17 followed by 184 bytes of payload. The header identifies the payload as belonging to the  
18 data-over-cable MAC that can be interleaved with other MPEG data flows providing  
19 different services. Note that a DOCSIS MAC frame may span over multiple MPEG  
20 packets and an MPEG packet may contain multiple DOCSIS MAC frames.

21 **[0062]** The DOCSIS Modulator and Forward DSP block **12** implements the  
22 Physical Media Dependent (PMD) functions described in the ITU J.83-B  
23 Recommendations with an exception for the interleaving function that must conform  
24 only with a subset of the "Level 2" of the ITU recommendation. Fig. 12 provides internal  
25 detail of these functions. The first sub-block monitors the MPEG-2 Transport Stream

1 compatible packets and inserts a parity checksum for detected sync bytes (1st byte  
2 having a value of 47 HEX) to provide error detection capability and packet delineation.

3

#### 4 Forward Error Correction

5 [0063] Fig. 13 illustrates the sub-functions of the Forward Error Correction  
6 (FEC) block of Fig. 12. The Reed-Solomon encoder implements an RS(128,122,3) code  
7 over GF(128). It provides encoding to correct up to 3 RS symbol (7-bit size) per RS  
8 block of 128 symbols.

9 [0064] The next FEC sub-block is a convolutional type interleaver supporting  
10 variable depth  $I=128, 64, 32, 16$ , and 8. It evenly disperses the symbols, protecting  
11 against a burst of symbol errors from being sent to the RS decoder at the receiver side. A  
12 frame synchronization sequence trailer delineates the FEC frame in order to provide  
13 synchronization for RS decoding, de-interleaving as well as de-randomizing at the  
14 receiver side. Four data bits are transmitted during the FEC frame sync interval in order  
15 to convey the interleaving parameters to the receiver. Note that the sync trailer depends  
16 on the modulation format.

17 [0065] Next a synchronous randomizer provides for even distribution of the  
18 symbols in the constellation. The randomizer is initialized during the FEC frame trailer  
19 and enabled at the first symbol after the trailer; thus the trailer is not randomized.

20 [0066] The Trellis Encoder uses an overall code rate of 14/15 with 64-QAM and  
21 19/20 with 256-QAM. It is based on a 1/2 -rate binary convolutional encoder punctured  
22 to 4/5 rate. In 64-QAM mode, 28 bits are collected in block, coded and mapped to 5x 64-  
23 QAM symbols. In 256-QAM mode, 38 bits feed the trellis encoder and deliver 40 bits  
24 that are mapped to 5x 256-QAM symbols. Note that the trellis-coding scheme used is 90°

1 (90-degree) rotationally invariant to avoid FEC resynchronization in the receiver after  
2 carrier phase slips.

3

#### 4 QAM Modulator

5 [0067] The 64- or 256-QAM symbols at the trellis encoder output of the FEC  
6 Encoder are pulse shaped using square-root raised cosine Nyquist filtering before  
7 modulation around a selected RF carrier. The roll-off factor is  $\alpha=0.18$  for 64-QAM and  
8  $\alpha=0.12$  for 256-QAM. The channel spacing (bandwidth) is 6 MHz, which leads to a  
9 symbol rate of 5.057 Mbaud with 64-QAM and 5.36 Mbaud with 256-QAM. The RF  
10 frequency band is 91 to 857 MHz. In practice, the modulation is first performed using an  
11 IF stage with a standard IF frequency at 43.75 MHz (36.15 in Europe), and next the  
12 signal is up-converted from IF to RF using an up-converter function.

13

#### 14 Overview of DOCSIS Receive Functions

15 [0068] The upstream receiver 6025 incorporates all the upstream functions  
16 required to implement the DOCSIS Physical Media Dependent (PMD) sub-layer. The  
17 receiver extracts the data packets transmitted by the Cable Modems (CMs) and sends  
18 them to the MAC layer. If the concatenation / fragmentation function is used, the data  
19 packets delivered by the upstream receiver are fragment payloads of MAC frames. If not,  
20 the data packets are full DOCSIS MAC frames. The upstream receiver is a multiple  
21 channel burst receiver supporting for each burst: a variable burst length (0-255  
22 minislots), flexible modulation scheme (QPSK, 16-QAM), variable symbol rate (5 values  
23 from 160 to 2560 kbaud), variable preamble length and value, variable randomizer seed,  
24 and programmable FEC. Each upstream receiver channel is provisioned appropriately  
25 for each of these parameters via the management and control functions of the MAC

1 layer. In addition, the upstream receiver integrates channel performance and monitoring  
2 function that feeds the MAC layer with all the necessary information for ranging  
3 purposes and for channel capacity optimization.

#### 4 5 Front-End

6 [0069] The front-end 6000 down-converts each channel signal to baseband, filters  
7 the down-converted signal using a matched filter (roll-off factor  $\alpha=0.25$ ), and performs  
8 synchronization in timing and frequency. Additional illustrative detail of a front end is  
9 available in the following application (previously incorporated by reference, above):  
10 "MULTIPLE INPUT, MULTIPLE OUTPUT CHANNEL, DIGITAL RECEIVER  
11 TUNER."

#### 12 13 Burst Demodulator

14 [0070] Each QPSK or QAM burst modulated channel signal is then demodulated  
15 within a respective DOCSIS demodulator and Return DSP block 16 in order to extract  
16 the data transmitted within the burst. The demodulator may also equalize the signal  
17 before its decision circuit in order to compensate for echoes and narrow-band ingress  
18 noise. Gain control and power estimation functions are necessarily provided to insure  
19 correct demodulation. Each DOCSIS demodulator and Return DSP block 16 delivers at  
20 its output one or more FEC scrambled packets.

#### 21 22 Descrambler and FEC Decoder

23 [0071] The operation of RS Decoder and Descrambler block 9030 is now  
24 examined. At the beginning of each data burst, the register of the de-scrambler is cleared  
25 and the seed value is loaded. The de-scrambler output is combined in a XOR function

1 with the data. Next, the information data is separated into FEC codewords and decoded,  
2 where the FEC is an RS (k, n, T) with  $k=16$  to  $253$ ,  $n=k+2T$  and  $T=0, 10$ .  $T=0$  means the  
3 FEC is turned off. Note that the last codeword can be shortened and thus, the RS decoder  
4 must fill the codeword with the necessary number of zeros before decoding. Finally, the  
5 decoded data is fed to the MAC layer.

6

#### 7 Performance Monitoring

8 [0072] In an illustrative embodiment, the upstream receiver also provides the  
9 following per-channel performance information to the MAC layer:

- 10 a) Timing estimation;
- 11 b) Frequency offset estimation;
- 12 c) Power estimation (signal and noise);
- 13 d) Pre-equalizer taps estimation;
- 14 e) BER estimation (preamble and FEC);
- 15 f) Collision indication;
- 16 g) Missed acquisition of burst (due collision or noise); and
- 17 h) RF Spectrum monitoring.

18

#### 19 Legacy Upstream Channel Digitizer Functions

20 [0073] Figs. 4A through 4E illustrate conceptually the process of digitizing a  
21 legacy upstream channel. (The understanding of this discussion is facilitated by  
22 examination of Fig. 3A, Fig. 3B, Fig. 3D, Fig. 14.) Fig. 4A shows the 5-42MHz return  
23 spectrum, including a desired 6MHz legacy return channel. Fig. 4B represents a low-pass  
24 (anti-alias) filtering operation performed in the analog domain (see also Fig. 3D) to  
25 eliminate out of band noise and unwanted signals. Subsequently, one of the provided



1 A/Ds (see reference **9010** in Fig. 3A) digitizes the entire return spectrum in the Nyquist  
2 space.

3 **[0074]** Once digitized, the desired legacy signal needs to be converted to  
4 baseband, isolated from other upstream signals, and decimated. Figs. 4C through 4E  
5 illustrate these functions conceptually. Fig. 4C represents a band-pass (channel isolation)  
6 operation performed in the digital domain at the provisioned frequency and bandwidth,  
7 as directed by the MAC control functions. As illustrated in Fig. 4D, the signal is then  
8 resampled, converted to baseband, and decimated by a multistage decimation process.  
9 The data is subsequently digitally filtered, as illustrated in Fig. 4E, to eliminate unwanted  
10 spectra-replicas. In an illustrative embodiment, the digitized legacy signal is baseband  
11 converted prior to isolation and decimation. As represented in Fig. 14, these functions  
12 are performed for each channel by a respective block **6005**, within front-ends **6000**.

13 **[0075]** The digital baseband signal is then sent to the Upstream MAC H/W  
14 Function block **9040** via Legacy Digitizing Frammer and Return DSP block **15**. In the  
15 Mac layer the digitized baseband stream is organized into Ethernet frames. Legacy  
16 Digitizing Frammer and Return DSP **15** facilitates the framing process, including the  
17 identification of each frame by eFN-ID, channel-ID and Payload control (using Source  
18 Address, SA; and Destination Address, DA). Legacy Digitizing Frammer and Return DSP  
19 **15** also provides the MAC layer with user profile information, including power and  
20 frequency estimation data.

21 **[0076]** At the Head-end, as shown in Fig. 7A, Fig. 9, and Fig. 10, a reverse  
22 process (discussed in detail below) performs extraction and reconstruction of an exact  
23 replica of the legacy signal(s) both in frequency position and bandwidth. The  
24 reconstructed signals may then be submitted to the appropriate legacy equipment for  
25 demodulation and data retrieval. This combination of digitization, framing, and

1 integration with other upstream packet traffic in accordance with the present invention,  
2 does not increase the complexity of the upstream receivers and provides a substantial  
3 reduction in data transfer requirements (e.g., by a factor of 10) compared to digitizing the  
4 entire upstream spectrum.

5

#### 6 MAC Layer Functional Overview

7 [0077] In an illustrative embodiment, the eFN of Fig. 3A implements all the  
8 MAC functions interfaces required to be fully compliant with DOCSIS. The eFN is  
9 intended to be software upgradeable for present and future versions of DOCSIS. MAC  
10 layer functions beyond those required by DOCSIS are also provided to support at least  
11 two Legacy channels, with respective MIBs and Messages.

12 [0078] Fig. 11 illustrates the MAC functions performed by the MAC Processor  
13 and Shared Memory. These functions include: PHY configuration and monitoring; de-  
14 fragmentation, de-concatenation, and decryption; MAC management; CM management;

15 [0079] Service Flow (SF) management; scheduler; RF management; Upstream  
16 (US) and Downstream (DS) Classifier; Upstream (US) and Downstream (DS) Payload  
17 Header Suppression (PHS); encryption; security based on the DOCSIS Baseline Privacy  
18 [BPI] and Baseline Privacy Plus [BPI+] specifications; DOCSIS DS frame generation;  
19 and CMTS MAC system management.

20 [0080] DOCSIS requires the mini-CMTS to support various functions and  
21 protocol layers above the MAC sublayer. These are listed in table 4, below.

22

23

24

Table 4 DOCSIS functions implemented in an illustrative embodiment

Function Type	Examples within Type
Forwarding and filtering	Layer 2 Packet Forwarding, Packet Filtering
Network-layer protocols	IGMP, ICMP
Higher-layer functions	TFTP, DHCP, TOD, RSVP, RTP, COPS, DNS, RADIUS
CMTS management	CM Directory, SNMP, CLI
Network Side Interface (NSI)	WAN and MPEG interfaces

[0081] The mini-CMTS is required to perform the following functions as part of managing itself: initialization and power on self-test; fault and performance monitoring; diagnostics; alarming via LEDS and the command line interface; and background maintenance functions.

#### Microprocessor and Transport Interfaces (Ethernet I/F)

[0082] Fig. 3C provides detail of the underlying structure for the MAC processor and shared memory of Fig. 3A. The strict physical limitations of the eFN require a solution that is low-power and highly integrated, but capable of supplying the significant computational horsepower and I/O bandwidth required by the Real Time Operating System (RTOS) and MAC functionality. In an illustrative embodiment, a Motorola MPC8260 PowerQUICC II is used. This versatile communications processor integrates on to a single chip a high-performance PowerPC RISC microprocessor, a very flexible system integration unit, and multiple communication peripheral controllers. The latter are configured as Ethernet interfaces for communication with the cable system Head End.

[0083] The MPC8260 includes an EC603e, an embedded variant of the PowerPC 603e microprocessor having no floating-point processor. The EC603e includes 16KB of level-one instruction cache and 16KB of level-one data cache. Software running on the

1 EC603e implements the following functions: ranging; registration; UCD message  
2 generation UCC, BPKM, and DSx protocol processing; and MAP message generation.

3 [0084] The MPC8260 further includes an integrated communications processor  
4 module (CPM), which is an embedded 32-bit processor using a RISC architecture to  
5 support several communication peripherals. The CPM interfaces to the PowerPC core  
6 through an on-chip 24Kbyte dual-port RAM and DMA controller. Using a separate bus,  
7 the CPM does not affect the performance of the PowerPC core. The CPM handles the  
8 lower MAC layer tasks and DMA control activities, leaving the PowerPC core free to  
9 handle higher MAC layer and ASIC related MAC activities. More specifically, the CPM  
10 implements the following functions: downstream/upstream Classifier, PHS, traffic  
11 shaping, forwarding and filtering. The CPM contains three fast communication  
12 controllers (FCCs), each including support for a 10/100-Mbit Ethernet/IEEE 802.3  
13 CDMS/CS interface through a media independent interface. Two 100Mbps Ethernet  
14 interfaces are implemented in this manner, for the packet communications with the cable  
15 system Head End.

16 [0085] The MPC8260 further includes a system interface unit (SIU), which  
17 includes a flexible memory controller usable with many memory system types (e.g.  
18 DRAM, FPD RAM, SDRAM, etc...), a 60x bus, a programmable local bus, and the on  
19 chip communications processor module. In an illustrative embodiment, PC66 SDRAM  
20 is used for the main memory. There are three memory types used in the illustrative  
21 embodiment. As shown in Fig. 3C, a 4MB SDRAM is attached as local RAM, between  
22 16 and 64MB of SDRAM is attached to the multi-master 60x bus as shared RAM, and  
23 between 8 and 32MB of Flash memory is coupled (via buffers) to the multi-master 60x  
24 bus, as shared NV Memory. The 4MB SDRAM operates at 66MHz, is 32-bits wide, and  
25 is intended for use exclusively by the CPM to buffer descriptors for the communication

1 channels or raw data that is transmitted between channels. The 16-64MB SDRAM  
2 operates at 66MHz, is 64-bits wide, and is intended for use by either the EC603e or bus  
3 mastered accesses by the DSP Multi-Channel Transceiver ASIC. The 8-32MB Flash  
4 includes storage for the operating system and applications. All memory is soldered down  
5 to the supporting PCB to improve reliability.

6 [0086] In an illustrative embodiment, a front-side bus, level two, (FSB L2) cache  
7 is used in conjunction with the MPC8260. An MPC2605 integrated secondary cache  
8 device is used. The MPC2605 is a single chip, 256KB integrated look-aside cache with  
9 copy-back capability. The MPC2605 integrated data, tag, and host interface uses  
10 memory with a cache controller to provide a 256KB level 2 cache. At 66MHz, the  
11 MPC2605 supports zero wait state performance and 2-1-1-1 burst transfers. Without the  
12 optional cache, an auxiliary PowerPC processor may be necessary to provide the needed  
13 computational capability of the MAC functions.

14 [0087] The interface between the MAC Processor and the DSP Multi-Channel  
15 Transceiver ASIC is the 60x bus. This bus interface supports 66MHz operation, 64-bit  
16 wide data path, burst transfers and bus mastering arbitration. The MPC8260 is  
17 configured for "60x compatible mode" and not "Single bus mode". Configured in this  
18 mode, the MPC8260 can support one or more bus masters and the level-two cache. The  
19 60x bus is used in pipeline mode for increased performance, requiring some additional  
20 external logic.

21

## 22 Optical Network and Ethernet Interface.

23 [0088] Fig. 3A and Fig. 3C are relevant to the following discussion of the  
24 Optical-to-Electrical (O/E) interface. The CPM of the MPC8260 couples to the O/E  
25 interface via an LX970A (a product of Level One, Inc.). The LX970A is a 10/100Mbps

1 Fast Ethernet PHY Transceiver that provides a Media Independent Interface (MII) for  
2 attachment to the CPM and a pseudo-ECL interface for use with 100BASE-FX fiber  
3 modules to the Head End fiber interface. As shown in Fig. 3A, three fibers provide  
4 connectivity between the eFN and the SH (and/or Head End). Each fiber carries up to  
5 several wavelengths corresponding to various downstream channels or upstream bursts  
6 from multiple eFNs.

7

8

9 Other Features of the Mini-CMTS

10 [0089] In an illustrative embodiment the following features further characterize  
11 the eFN's mini-CMTS:

- 12 a) fully digital downstream implementations of Annex B coding and modulation;
- 13 b) fully digital upstream implementation of DOCSIS modulated upstream channels,  
14 including direct IF sampling, digital baseband conversion, and parallel  
15 demodulation of at least 2 channels;
- 16 c) parallel digitization of 2 frequency bands containing at least 2 legacy packetized  
17 digital return channels (PDC);
- 18 d) frequency agility in the total upstream band;
- 19 e) fully flexible receiver to allow performance optimization vs. noise and  
20 intersymbol interference (all DOCSIS channel parameters, burst profiles & user  
21 profiles), with features including variable symbol rate, variable burst length,  
22 Reed-Solomon decoding with variable error correction capability and variable  
23 code rate, and both QPSK & 16-QAM demodulation (with extensions to 32- &  
24 64-QAM); and
- 25 f) accurate power, timing & carrier offset estimation.

1    **[0090]**       In preferred embodiments, the eFN's mini-CMTS is further compatible  
2    with and supports the following cable-modem features:

- 3       a) fully digital, non-data aided symbol clock recovery;
- 4       b) joint blind and decision-directed channel equalization;
- 5       c) fully digital carrier phase/frequency recovery;
- 6       d) fast and aliasing free frame lock technique;
- 7       e) transform based area/timing efficient extended Reed-Solomon decoder;
- 8       f) single cycle Galois field arithmetic elements (inverters, multipliers,
- 9       adders/subtractors);
- 10      g) digital carrier synthesis supporting on-the-fly frequency selection;
- 11      h) variable rate interpolator supporting multiple upstream symbol rates; and
- 12      i) adjustable transmit level and local time reference.

13  
14  
15

## 16    System Environment

17    **[0091]**       Figs. 7A and 7B illustrate the system environment for an HFC cable  
18    system having a packet fiber overlay using eFNs, in accordance with the present  
19    invention. Fig. 7A is a view that focuses on the relationship between the head-end and  
20    the customer premises. Fig. 7B is a view that focuses on the relationship between the  
21    cable-system head-end and other networks. Fig. 8 illustrates an alternate embodiment for  
22    an HFC cable system having a packet fiber overlay using eFNs, in accordance with the  
23    present invention.

24  
25

1    Logical Allocation of Upstream Channels

2    [0092]           An upstream channel can be logically allocated to any of the four  
3    available selectable upstream channels per digitized input. One approach to avoiding  
4    physical node recombining, where capacity growth is expected, is to initially turn on only  
5    one upstream channel per digitized input. If the initial channel reaches capacity, then  
6    another channel can be provisioned using the dynamic channel allocation capabilities of  
7    the mini-CMTS.

8    [0093]           This ability to logically assign channels has a number of benefits. There  
9    is no need to purchase a CMTS line card, chassis, or channel bank every time an  
10   upstream port reaches capacity. Headend technician time is not lost installing new  
11   hardware, disconnecting and reconnecting cables, and reconfiguring the system.  
12   Misconfigurations or service disruptions common to physical recombining are avoided.  
13   Recombining instead is an operation that can be performed both remotely and online.  
14   Finally, channels can be dynamically assigned for specific services or functions, such as  
15   migration between different revisions of cable modem standards.

16

17   Dynamic Channel Allocation

18   [0094]           In addition to the benefits of reducing installation labor and avoiding  
19   physical node recombining, dynamic channel allocation also provides a solution to  
20   ingress noise, which can vary both in time and channels affected. In conjunction with real  
21   time spectral analysis of the entire return spectrum and continuous feedback monitoring  
22   of customer quality of service (QoS) levels, the mini-CMTS can quickly detect a problem  
23   and take a variety of actions.

24   [0095]           Specific actions that the mini-CMTS can take in response to a detected  
25   problem include: scanning the entire return spectrum in real time to analyze the



1 environment and find “clean” spectrum; resize the affected channel; dynamically  
2 increase or decrease bandwidth; move the channel to a new carrier frequency; allocate  
3 and additional channel; move one or all cable modems from one channel to another  
4 without registering. Because the modems can be dynamically switched without having  
5 to re-register, the integrity of service level agreements are preserved for mission-critical  
6 services such as VoIP calls and symmetrical business services.

7

#### 8 Reconstruction of Legacy Upstream Channels at the Head End

9 [0096] In order to assure proper demodulation of the legacy return signals, it is  
10 necessary to reconstruct each upstream signal precisely at its original carrier frequency.  
11 Fig. 10 provides detail of this process. The context for these functional blocks includes  
12 Fig. 9 and Fig. 7A.

13 [0097] Reconstruction of the original signal requires performing steps that are the  
14 reverse of the sampling and decimation process performed in the mini-CMTS of the eFN.  
15 Based on information either known in advance (e.g., the decimation ratio provisioned for  
16 the channel) or included in the Ethernet encapsulated frames (the eID, CID, CTRL and  
17 SEQ parameters; describing the upstream signal origin, BW and frequency), it is  
18 straightforward to reconstruct and upsample to generate an exact replica of the digitized  
19 sample stream provided to the front-end of the eFN’s mini-CMTS.

20 [0098] These samples are fed into a D/A converter whose clock is running  
21 synchronously to the A/D converter in the eFN. The reconstructed signal is thus placed  
22 precisely on the proper carrier frequency. The required clock synchronicity can by  
23 achieved by a number of means, including e.g. FIFO fullness control and timestamp  
24 messaging. The particular method of clock synchronicity is determined at least in part by

1 the degree of short-term absolute frequency precision required by the legacy  
2 demodulator/receiver equipment.

3 [0099] Fig. 9 and Fig. 7A provide additional detail showing how multiple  
4 instances of the Return Channel Reconstruction logic 10 are implemented within the  
5 Master DAC Controller 9, at the Head End. The Master DAC Controller 9 provides  
6 extraction and reconstruction of each packetized digital return channel (PDC). Each  
7 legacy signal is reconstructed independently and delivered to a corresponding receiver.  
8 It is also possible to combine several analog reconstructed signals for delivery over a  
9 single coaxial cable to a common legacy demodulator/receiver.

10

11 End-to-End Operation of the Packetized Digital Return Channel (PDC)

12 [0100] In conjunction with the A/D(s) 9010 and front-ends 6000, a Legacy  
13 Digitizing Framer and Return DSP 15 (located inside each of multiple mini-CMTSs)  
14 isolates digitized return channels specified by the Master DAC Controller 9 (located at a  
15 cable Head End or SH), encapsulates the associated bit stream into Ethernet packets, and  
16 transmits the packets over the regional packet network. (The digitization and packet  
17 encapsulation formats are described below.) These packets are forwarded to the  
18 distribution hubs and Head End. Since these packets are encapsulated using an Ethernet  
19 frame format, standard switches (and routers) can be used to aggregate and relay the  
20 traffic.

21 [0101] At the Head End, the Master DAC Controller 9 extracts the bit streams  
22 from the Ethernet frames and recovers the analog channels. The Master DAC Controller  
23 9 also controls and monitors the Legacy Digitizing Framer and Return DSP 15 within  
24 each of multiple remote eFNs. In an illustrative embodiment, the Master DAC  
25 Controller 9 can control up to 216 Digitizing Framers.

1   **[0102]**           Each framer is assigned an IP address and a 16-bit unique identifier (eFN  
 2   Station ID). The Master DAC Controller 9 communicates with the framers via SNMP.  
 3   At initialization, the Master DAC Controller configures the framer to select different  
 4   channels. In an illustrative embodiment, each Legacy Digitizing Framer and Return DSP  
 5   15 is capable of supporting four analog channels. The channels can be configured  
 6   independently. However, these channels should not overlap in frequency. The  
 7   Characteristics of each Packetized Digital Return Channel (PDC) are given in Table 5,  
 8   below.

9

Table 5 Channel Characteristics

Characteristic	Definition
Channel ID	a unique 16-bit identifier specifying the channel
Frequency	the center frequency of the channel, in Hertz
Width	the bandwidth of the channel, in Hertz
Frame Length	number of data bytes in each frame
Resolution	number of bits per analog sample

11

12

13   **[0103]**           Each frame/packet is uniquely identified by the fields shown in Table 6,  
 14   below.

15

Table 6 Frame Field Definitions

Field	Length	Description
eID (or IP addr)	16 bits	eFN Station ID
CID	8 bits	Channel ID
CTRL	8 bits	Control
SEQ	16 bits	Sequence Number

16

17

1    Data Encapsulation for the Packetized Digital Return Channel

2    **[0104]**       Within the eFN's mini-CMTS, the selected analog channels are digitized  
3    into streams of bits. These bits are encapsulated into frames. In an illustrative  
4    embodiment, the Digitizing Framer provides both a Layer 2 encapsulation mode and a  
5    Layer 3 encapsulation mode.

6    **[0105]**       Since Layer 2 frames carry only LAN address information, only switches  
7    and transparent bridges can forward them. Therefore, regular IP routers cannot be used  
8    to forward the Layer 2 frames at the distribution hubs and Head End, as these frames do  
9    not have any IP information. The advantage of using Layer 2 encapsulation is bandwidth  
10   efficiency. Since the frames do not have any IP/UDP headers, the framing is very  
11   efficient especially for short packets. The amount of overhead per frame is 26 bytes  
12   (Ethernet) + 6 bytes (PDC) = 32 bytes.

13   **[0106]**       Since Layer 3 frames are encapsulated in UDP packets, they are  
14   forwarded and routed using standard switches and routers. This would allow the Master  
15   DAC Controller to be located at different IP subnets. With Layer 3 encapsulation, the  
16   amount of overhead per frame is 26 bytes (Ethernet) + 20 bytes (IP) + 8 bytes (UDP) =  
17   54 bytes.

18

19    Layer 2 Encapsulation

20   **[0107]**       Implementation of a "best efforts" upstream data channel using point-to-  
21   point layer 2 protocol is summarized as follows. The 5-42 MHz US spectrum is  
22   digitized, filtered and decimated to provide a data stream corresponding to the desired  
23   channel. The data stream is packetized in Ethernet frames and transmitted using layer 2  
24   protocol to the Master DAC controller 9 (located in the Head End). Each frame is  
25   identified by eFN-ID, channel-ID and Payload control (using SA and DA). The Master

1 DAC Controller 9 will reconstruct the original legacy signal(s) at the Head End (with the  
2 original frequency and bandwidth). The Master DAC Controller 9 will provide the  
3 resulting legacy flows to legacy equipment for subsequent demodulation. Also using  
4 layer 2 protocol over the downstream path, the Master DAC Controller 9 sends control  
5 commands to specific eFNs as required to implement provisioning and configuration of  
6 each eFN's mini-CMTS.

7

8 **[0108]** With Layer 2 encapsulation, the bit streams are encapsulated into Ethernet  
9 frames as shown in Fig. 5. The source address and destination address of the frames are  
10 the hardware addresses of the Digitized Framer and Master Controller, respectively. A  
11 Packetized Digital Return Channel (PDC) header is inserted to uniquely identify each  
12 frame. The PDC header includes four fields: eID is the eFN Station ID of the associated  
13 Framer, CID is the Channel ID of the analog channel and CTRL contains control bits and  
14 reserved bits. SEQ is the byte sequence number and identifies the byte in the stream of  
15 data from the Framer to the Master Controller that the first byte of data in this frame  
16 represents.

17

### 18 Layer 3 Encapsulation

19 **[0109]** Implementation of a "best efforts" upstream data channel using a point-to-  
20 point UDP/layer 3 protocol is summarized as follows. The 5-42 MHz US spectrum is  
21 digitized, filtered and decimated to provide a data stream corresponding to the desired  
22 channel. The data stream is encapsulated in UDP packets and transmitted using layer 3  
23 protocol to the Master DAC controller 9 (located in the Head End). Each frame is  
24 identified using the source port number (eFN-ID, channel-ID and Payload control). The  
25 Master DAC Controller 9 will reconstruct the original legacy signal(s) at the Head End

(with the original frequency and bandwidth). The Master DAC Controller 9 will provide the resulting legacy flows to legacy equipment for subsequent demodulation. Using TCP, the Master DAC Controller 9 also sends control commands from the Head End Management System (HMS) to specific source port numbers in order to implement provisioning and configuration of each eFN's mini-CMTS.

[0110] With Layer 3 encapsulation, the bit streams are encapsulated in UDP packets as shown in Fig. 6. In the IP header, the source IP address and the destination IP address are the IP addresses of the transmitting framer and the Master Controller, respectively. The source UDP port number (SP) is used to represent CID and CTRL while the default destination UDP port number is 3103. Since the packet size is constant (set by SNMP), the UDP packet length field is used to represent the SEQ field.

### Control and Monitoring of Legacy Digitizing Framer

[0111] The parameters for each channel's framer are configured via SNMP. The attributes for each analog channel are detailed in Table 7, below.

**Table 7 Channel Table MIB**

MIB	Access	Syntax	Description
Channel Id	RW	Integer32 (0..255)	Identifier of this channel
Frequency	RW	Integer32 (0..1 000 000 000)	Center frequency of this channel in Hertz
Width	RW	Integer32 (0..10 000 000)	Bandwidth of this channel in Hertz
Power	RO	Integer32	Received Power in tenth of dBmV
Length	RW	Integer32 (64..1518)	Length of Packets in Bytes
Resolution	RW	Integer32 (8..12)	Number of Bits per analog sample

1    **[0112]**           Since SNMP is a best effort delivery protocol, the Master DAC controller  
2    is responsible for guarantying the retrieval of the setting of the channel attributes. An  
3    ARQ approach is used to ensure the framers are configured with the correct setting:

```
4  
5       While (true) {  
6           Configure the Framer using SNMP SET  
7           Read the configuration of the Framer via SNMP GET  
8           If (Correct setting)  
9               Break  
10          Wait a few seconds  
11       }  
12
```

13   In the above approach, the DAC controller would repeatedly transmit SNMP SET  
14   commands until the corresponding channel is set up correctly.

15

## 1 CONCLUSION

2

3 [0113] Although the present invention has been described using particular  
4 illustrative embodiments, it will be understood that many variations in construction,  
5 arrangement and use are possible consistent with the teachings and within the scope of  
6 the invention. For example, interconnect and function-unit bit-widths, clock speeds, and  
7 the type of technology used may generally be varied in each component block of the  
8 invention. Also, unless specifically stated to the contrary, the value ranges specified, the  
9 maximum and minimum values used, or other particular specifications (such as the  
10 frequency ranges for upstream signals; the content type, modulation and encoding  
11 schemes of the upstream signals; the type of microprocessor utilized), are merely those of  
12 the illustrative or preferred embodiments, can be expected to track improvements and  
13 changes in implementation technology, and should not be construed as limitations of the  
14 invention.

15 [0114] Functionally equivalent techniques known to those skilled in the art may  
16 be employed instead of those illustrated to implement various components or sub-  
17 systems. It is also understood that many design functional aspects may be carried out in  
18 either hardware (i.e., generally dedicated circuitry) or software (i.e., via some manner of  
19 programmed controller or processor), as a function of implementation dependent design  
20 constraints and the technology trends of faster processing (which facilitates migration of  
21 functions previously in hardware into software) and higher integration density (which  
22 facilitates migration of functions previously in software into hardware).

23 [0115] All such variations in design comprise insubstantial changes over the  
24 teachings conveyed by the illustrative embodiments. The names given to interconnect  
25 and logic are illustrative, and should not be construed as limiting the invention. It is also



1 understood that the invention has broad applicability to other communications  
2 applications over distributed networks, and is not limited to the particular application or  
3 industry of the illustrated embodiments. The present invention is thus to be construed as  
4 including all possible modifications and variations encompassed within the scope of the  
5 appended claims.  
6

1 We claim:

2

3 1. A fiber node for deployment in a hybrid fiber-coax network (HFCN) at an  
4 intermediate point between an upstream HFCN facility and a plurality of subscriber  
5 cable modems, the fiber node comprising:

6 a) a packet protocol block having a packet data interface, a transmitter data  
7 interface, and a receiver data interface, said packet protocol block  
8 communicating subscriber cable modem data with said upstream HFCN  
9 facility via said packet data interface;

10 b) a plurality of modulators transmitting data to said subscriber cable modems  
11 via a downstream analog RF interface, said transmitted data being provided  
12 by said packet protocol block via said transmitter data interface; and

13 c) a plurality of demodulators for extracting data from subscriber cable modems  
14 received via an upstream analog RF interface, said extracted data being  
15 provided to said packet protocol block via said receiver data interface.

16

17 2. The fiber node of claim 1, wherein the cable modems are compatible with the  
18 DOCSIS standard.

19

20 3. The fiber node of claim 1, wherein the upstream facility is a head end.

21

22 4. The fiber node of claim 1, wherein the upstream facility is a secondary head end.

23

24 5. The fiber node of claim 1, wherein the upstream facility is a hub.

25

- 1     6. The fiber node of claim 1, wherein channel separation is performed prior to the  
2       demodulators such that multiple channels are extracted from each physical  
3       transmission path of the upstream analog RF interface.  
4
- 5     7. The fiber node of claim 1, further including at least one digitizing framer for  
6       digitizing modulated signals as received via an upstream analog RF interface, said  
7       digitized modulated signal data being provided to said packet protocol block via said  
8       receiver data interface.  
9
- 10    8. The fiber node of claim 7, wherein the cable modems are compatible with the  
11       DOCSIS standard and the modulated signals are legacy telephone signals.  
12
- 13    9. The fiber node of claim 7, wherein the extracted data and the digitized modulated  
14       signal data are merged in said packet protocol block for communication over a  
15       common packet transmission path with the upstream facility.  
16
- 17    10. The fiber node of claim 8, wherein the extracted DOCSIS cable modem data and the  
18       digitized legacy telephone data are communicated with said upstream facility via a  
19       common Ethernet-compatible transmission path.  
20
- 21    11. The fiber node of claim 7, wherein channel separation is performed prior to the  
22       digitizing framer, such that at least one selected channel and only selected channels  
23       are communicated with said upstream facility.  
24  
25

- 1 12. The fiber node of claim 11, wherein the channel separation is performed in the digital  
2 domain after analog-to-digital conversion.  
3
- 4 13. The fiber node of claim 12, wherein the digitized modulated signal data is  
5 compressed prior to being communicated to said upstream facility.  
6
- 7 14. The fiber node of claim 9, wherein reconstruction of the digitized modulated signals  
8 is performed at the upstream facility.  
9
- 10 15. The fiber node of claim 12, wherein a plurality of selected non-contiguous channels  
11 having respective modulated signals are concurrently separated and framed, merged  
12 together for communication over a common Ethernet-compatible transmission path,  
13 and subsequently separated and concurrently reconstructed at the upstream facility.  
14
- 15 16. The fiber node of claim 15, wherein the upstream facility is a head end.  
16
- 17 17. The fiber node of claim 16, wherein the cable modems are compatible with the  
18 DOCSIS standard and the modulated signals are legacy telephone signals.  
19
- 20 18. The fiber node of claim 15, wherein the upstream facility is a secondary head end.  
21
- 22 19. The fiber node of claim 18, wherein the cable modems are compatible with the  
23 DOCSIS standard and the modulated signals are legacy telephone signals.  
24

- 1 20. The fiber node of claim 15, wherein the upstream facility is a hub.  
2
- 3 21. The fiber node of claim 20, wherein the cable modems are compatible with the  
4 DOCSIS standard and the modulated signals are legacy telephone signals.  
5
- 6 22. The fiber node of claim 6, wherein the channel separation is performed in the digital  
7 domain after analog-to-digital conversion.  
8
- 9 23. The fiber node of claim 22, wherein the channel separation is performed by digital  
10 receivers with programmable center frequency and bandwidth.  
11
- 12 24. The fiber node of claim 23, wherein the receivers are programmed by sending  
13 commands to the fiber node via the packet data interface.  
14
- 15 25. The fiber node of claim 24, wherein the fiber node is an mFN.  
16
- 17 26. The fiber node of claim 1, further including analog combine and split circuitry  
18 coupled to the upstream analog RF interface, the downstream analog RF interface,  
19 and to the subscriber cable modems.  
20
- 21 27. The fiber node of claim 26, wherein the analog combine and split circuitry is coupled  
22 to the subscriber cable modems via a coaxial-cable distribution.  
23  
24  
25

1 28. A hybrid fiber-coax network (HFCN) system, comprising:

- 2 a) an upstream HFCN facility;
- 3 b) a plurality of subscriber cable modems;
- 4 c) a first plurality of fiber nodes at intermediate points between said upstream
- 5 HFCN facility and said plurality of subscriber cable modems, at least a
- 6 second plurality of said first plurality of fiber nodes have an integral Cable
- 7 Modem Termination System (CMTS), each CMTS communicating with at
- 8 least some of said plurality of cable modems via analog RF, each CMTS
- 9 communicating subscriber cable modem data with said upstream HFCN
- 10 facility via packet data.

11

12 29. The HFCN system of claim 28, wherein the CMTS comprises:

- 13 a) a packet protocol block having a packet data interface, a transmitter data
- 14 interface, and a receiver data interface, said packet protocol block
- 15 communicating subscriber cable modem data with said upstream HFCN
- 16 facility via said packet data interface;
- 17 b) a plurality of modulators transmitting data to said subscriber cable modems
- 18 via a downstream analog RF interface, said transmitted data being provided
- 19 by said packet protocol block via said transmitter data interface; and
- 20 c) a plurality of demodulators for extracting data from subscriber cable modems
- 21 received via an upstream analog RF interface, said extracted data being
- 22 provided to said packet protocol block via said receiver data interface.

23

24 30. The HFCN system of claim 29, wherein the cable modems are compatible with the

25 DOCSIS standard.

1 31. The HFCN system of claim 29, wherein the upstream facility is a head end.

2

3 32. The HFCN system of claim 29, wherein the upstream facility is a secondary head  
4 end.

5

6 33. The HFCN system of claim 29, wherein the upstream facility is a hub.

7

8 34. The HFCN system of claim 29, wherein channel separation is performed prior to the  
9 demodulators such that multiple channels are extracted from each physical  
10 transmission path of the upstream analog RF interface.

11

12 35. The HFCN system of claim 29, wherein the CMTS further includes at least one  
13 digitizing framer for digitizing modulated signals as received via an upstream analog  
14 RF interface, said digitized modulated signal data being provided to said packet  
15 protocol block via said receiver data interface.

16

17 36. The HFCN system of claim 35, wherein the cable modems are compatible with the  
18 DOCSIS standard and the modulated signals are legacy telephone signals.

19

20 37. The HFCN system of claim 35, wherein the extracted data and the digitized  
21 modulated signal data are merged in said packet protocol block for communication  
22 over a common packet transmission path with the upstream facility.

23

1 38. The HFCN system of claim 36, wherein the extracted DOCSIS cable modem data  
2 and the digitized legacy telephone data are communicated with said upstream facility  
3 via a common Ethernet-compatible transmission path.

4

5 39. The HFCN system of claim 35, wherein channel separation is performed prior to the  
6 digitizing framer, such that at least one selected channel and only selected channels  
7 are communicated with said upstream facility.

8

9 40. The HFCN system of claim 39, wherein the channel separation is performed in the  
10 digital domain after analog-to-digital conversion.

11

12 41. The HFCN system of claim 40, wherein the digitized modulated signal data is  
13 compressed prior to being communicated to said upstream facility.

14

15 42. The HFCN system of claim 37, wherein reconstruction of the digitized modulated  
16 signals is performed at the upstream facility.

17

18 43. The HFCN system of claim 40, wherein a plurality of selected non-contiguous  
19 channels having respective modulated signals are concurrently separated and framed,  
20 merged together for communication over a common Ethernet-compatible  
21 transmission path, and subsequently separated and concurrently reconstructed at the  
22 upstream facility.

23

24 44. The HFCN system of claim 43, wherein the upstream facility is a head end.

25



- 1 45. The HFCN system of claim 44, wherein the cable modems are compatible with the  
2 DOCSIS standard and the modulated signals are legacy telephone signals.  
3
- 4 46. The HFCN system of claim 43, wherein the upstream facility is a secondary head  
5 end.  
6
- 7 47. The HFCN system of claim 46, wherein the cable modems are compatible with the  
8 DOCSIS standard and the modulated signals are legacy telephone signals.  
9
- 10 48. The HFCN system of claim 43, wherein the upstream facility is a hub.  
11
- 12 49. The HFCN system of claim 48, wherein the cable modems are compatible with the  
13 DOCSIS standard and the modulated signals are legacy telephone signals.  
14
- 15 50. The HFCN system of claim 34, wherein the channel separation is performed in the  
16 digital domain after analog-to-digital conversion.  
17
- 18 51. The HFCN system of claim 50, wherein the channel separation is performed by  
19 digital receivers with programmable center frequency and bandwidth.  
20
- 21 52. The HFCN system of claim 51, wherein the receivers of each CMTS are programmed  
22 by sending commands to the respective packet data interface of each CMTS.  
23

1 53. The HFCN system of claim 52, wherein at least one of fiber nodes having a CMTS is  
2 an mFN.

3

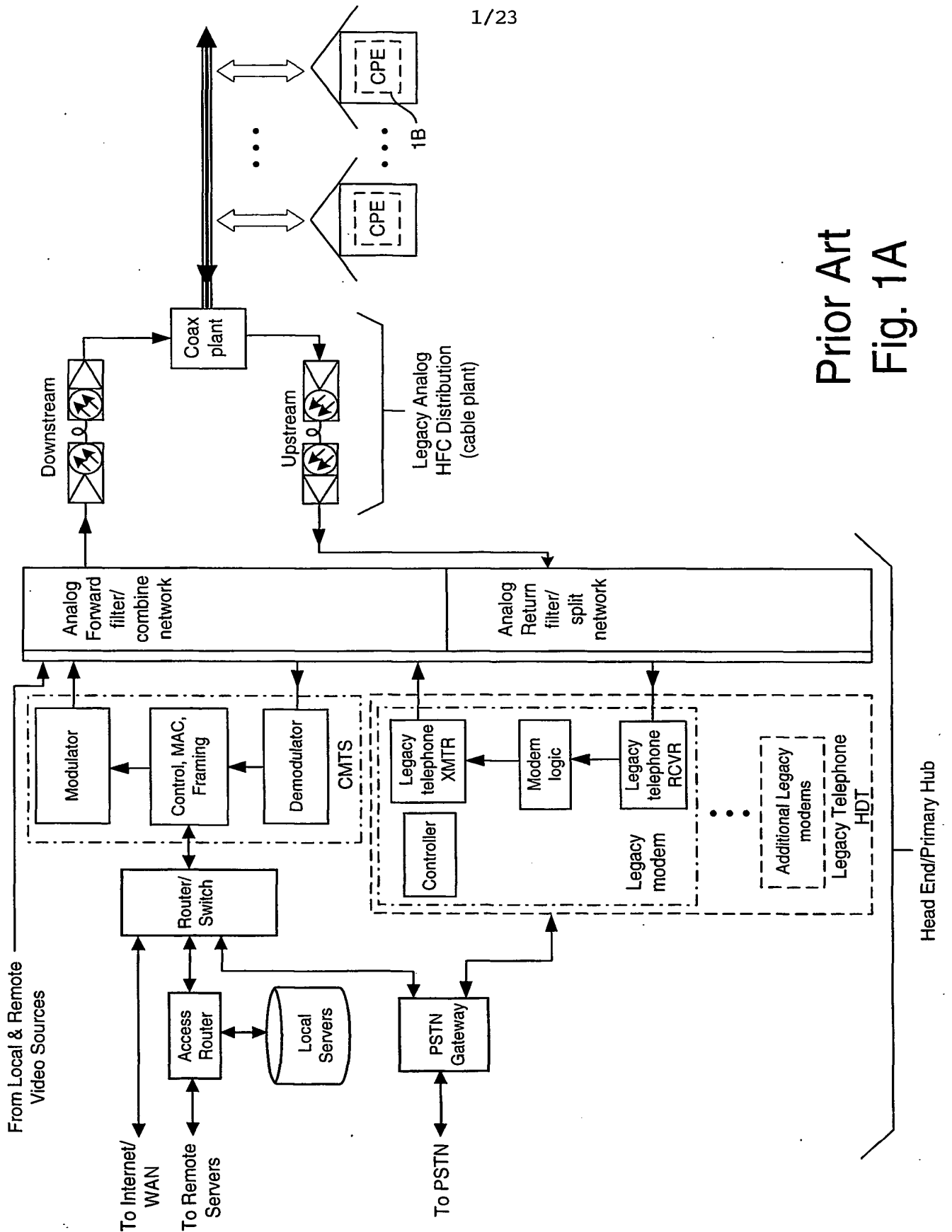
4 54. The HFCN system of claim 29, further including analog combine and split circuitry  
5 coupled to the upstream analog RF interface, the downstream analog RF interface,  
6 and to the subscriber cable modems.

7

8 55. The HFCN system of claim 54, wherein the analog combine and split circuitry is  
9 coupled to the subscriber cable modems via a coaxial-cable distribution.

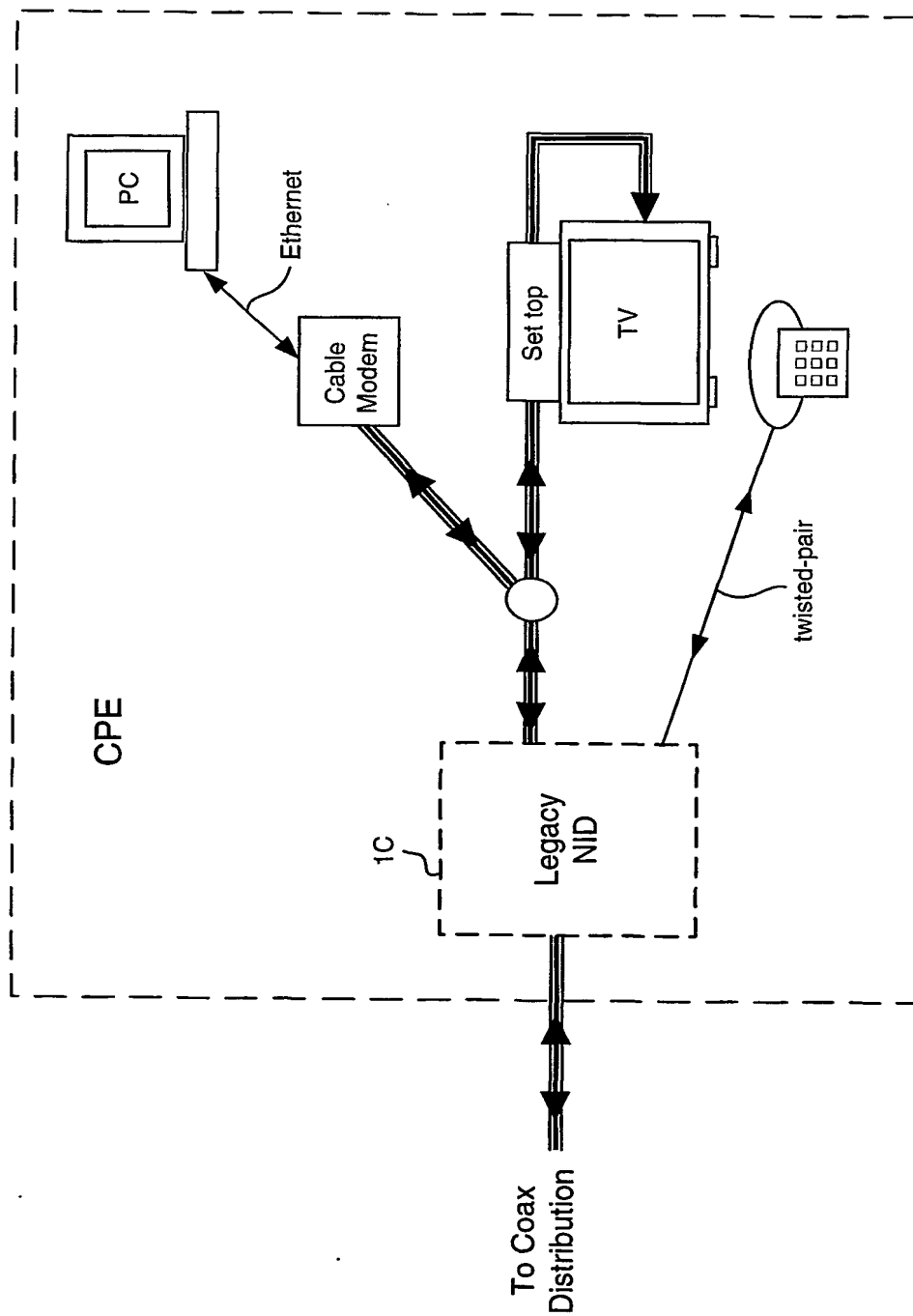
10

1/23



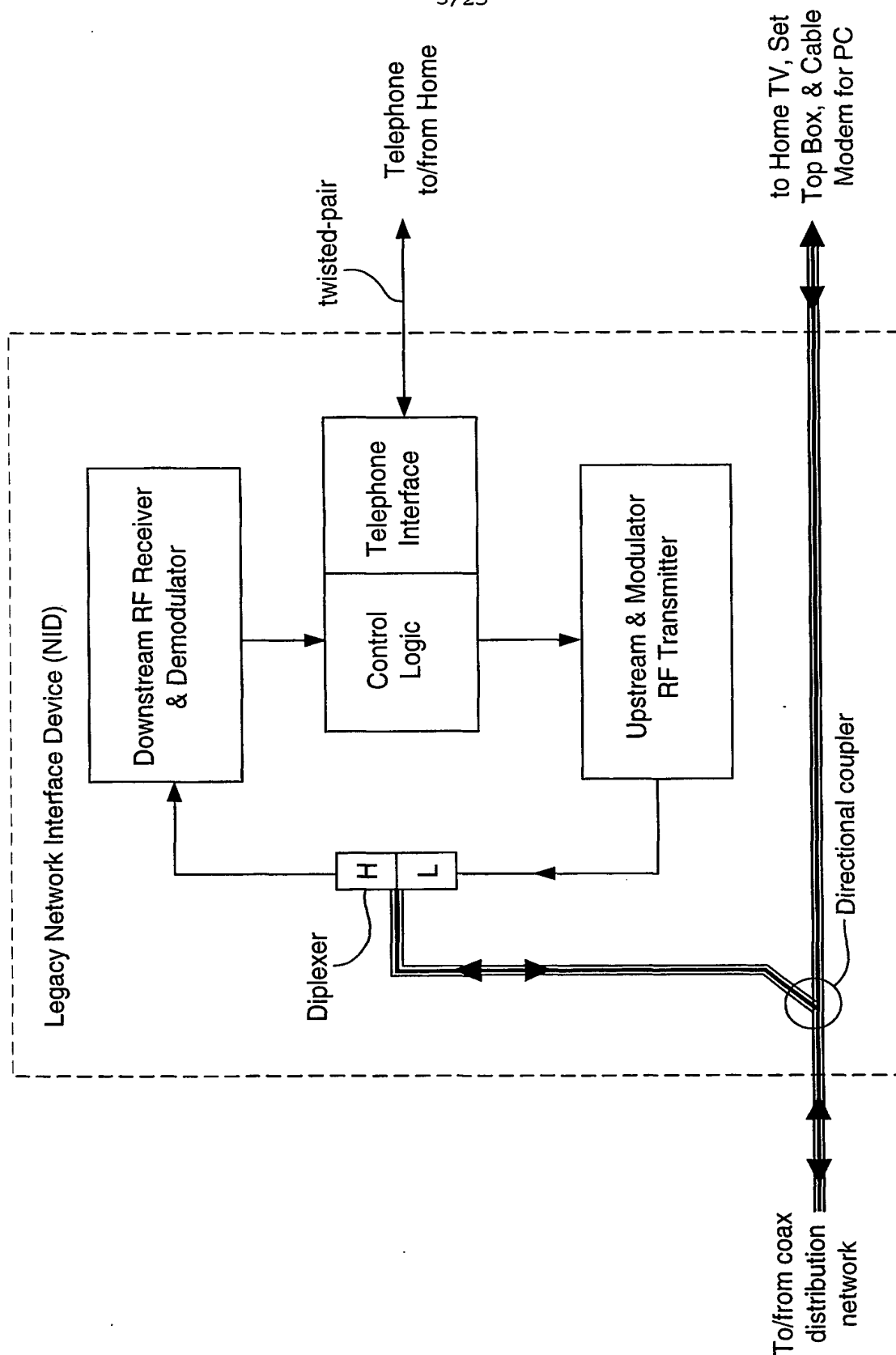
Prior Art  
Fig. 1A

2/23

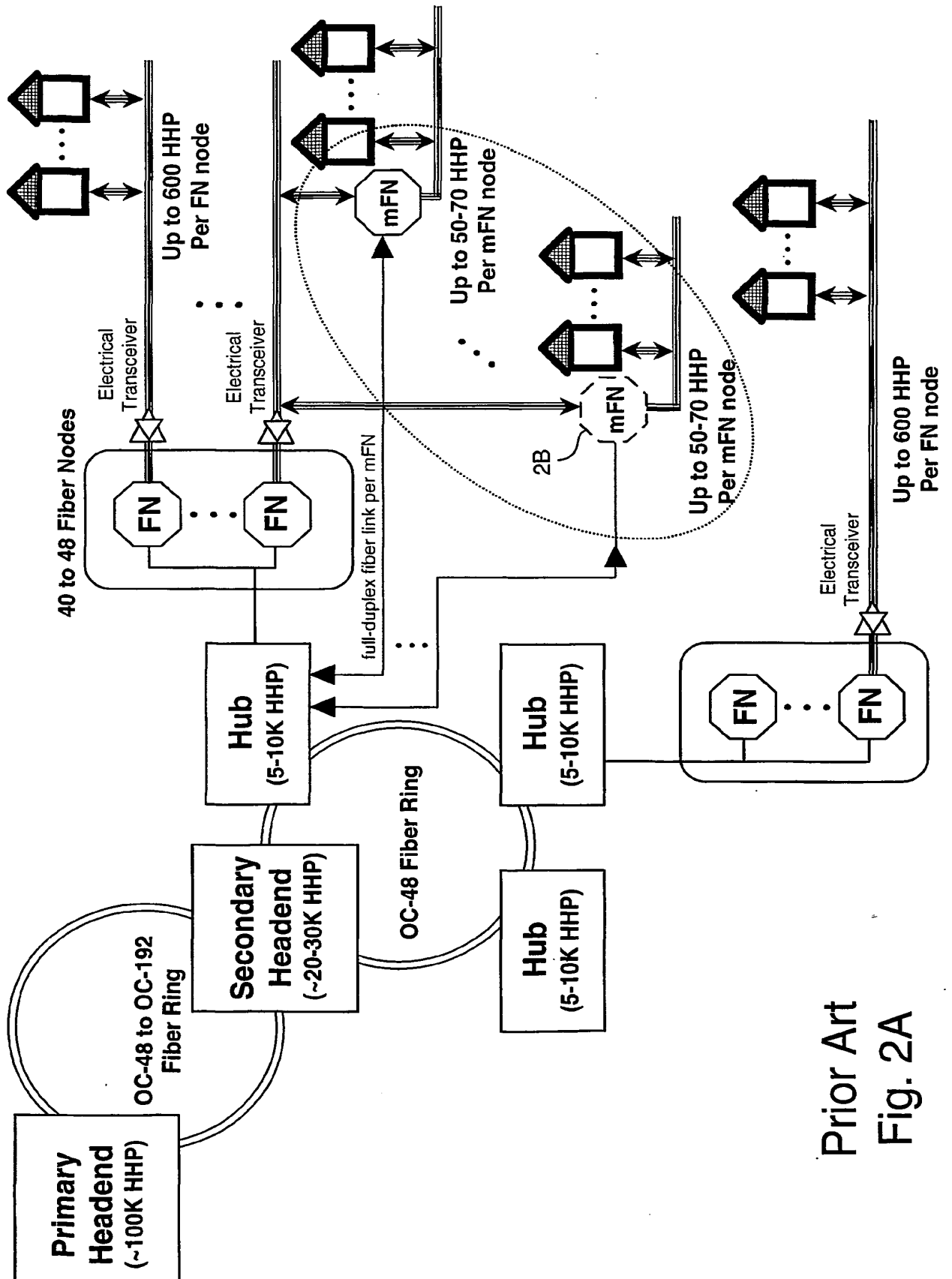


Prior Art  
Fig. 1B

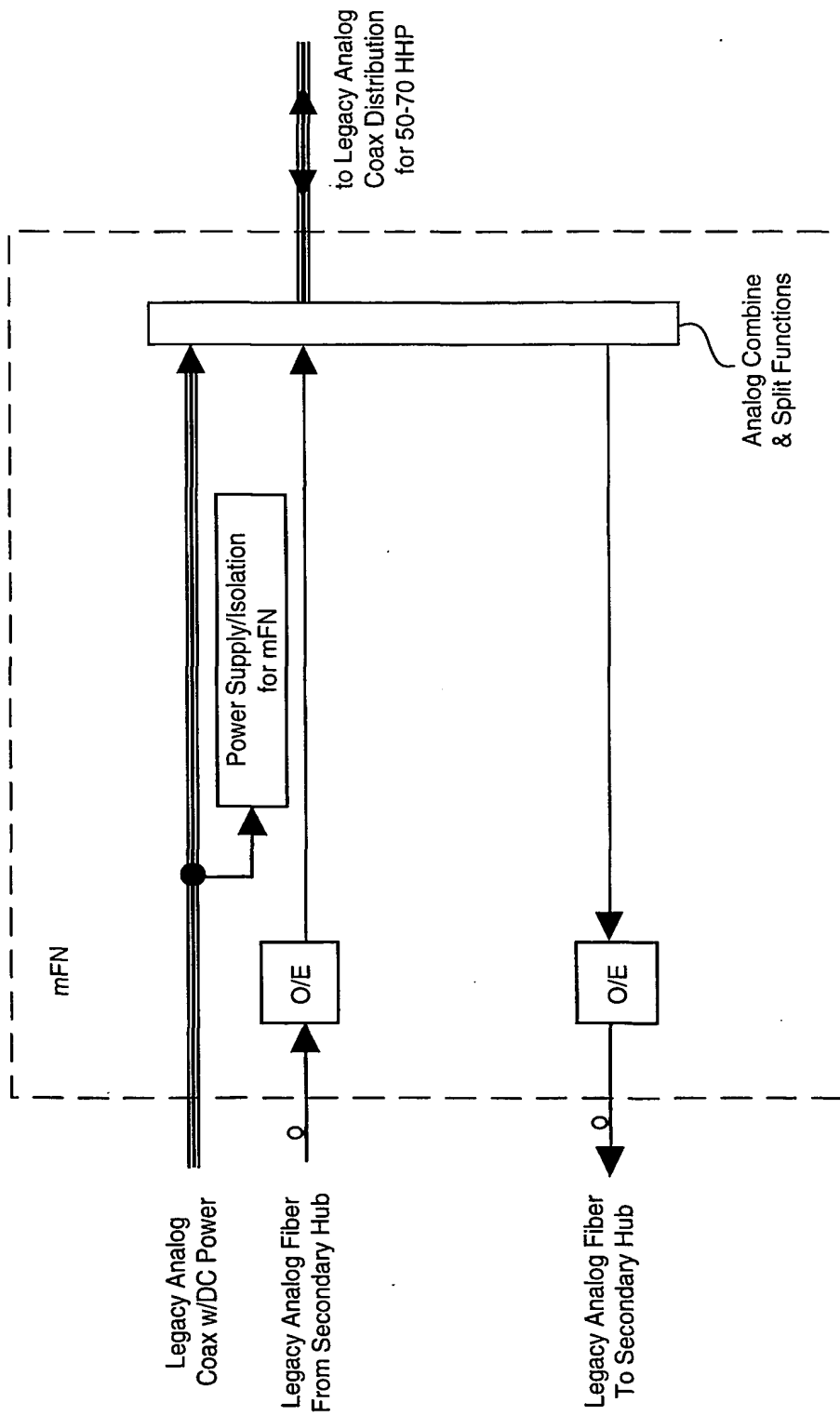
3/23



Prior Art  
Fig. 1C



5/23



Prior Art  
Fig. 2B

6/23

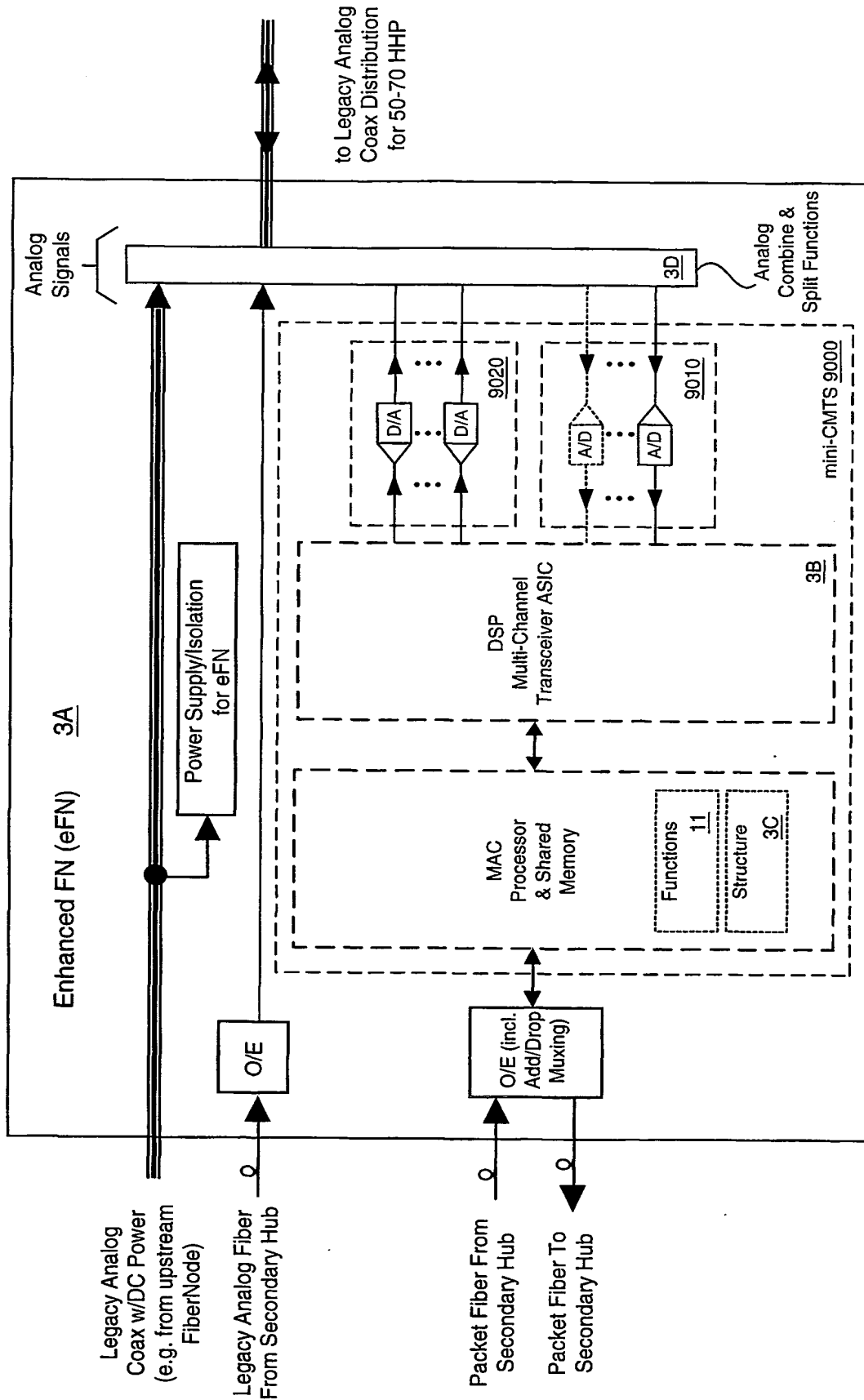


Fig. 3A



7/23

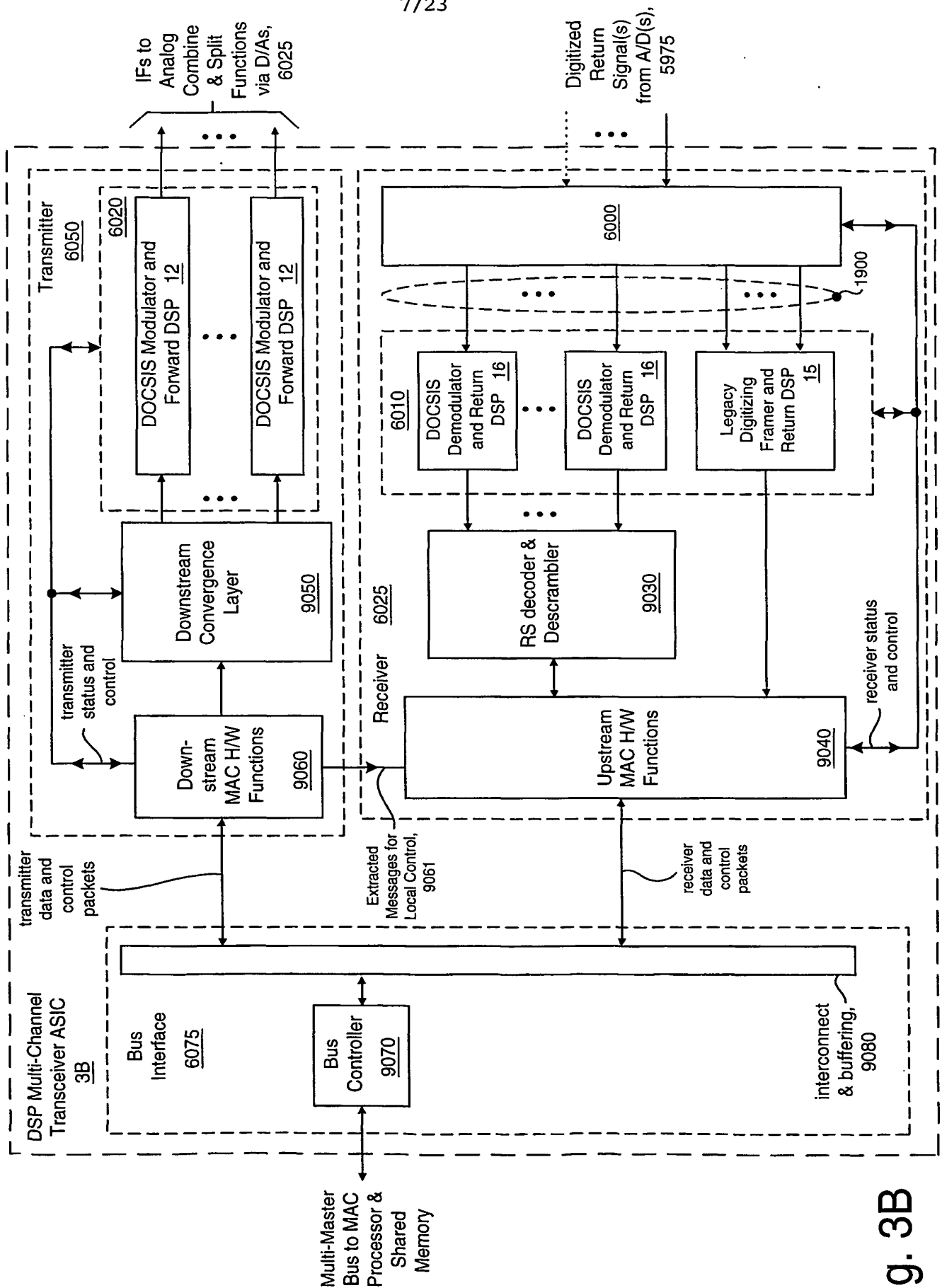


Fig. 3B

8/23

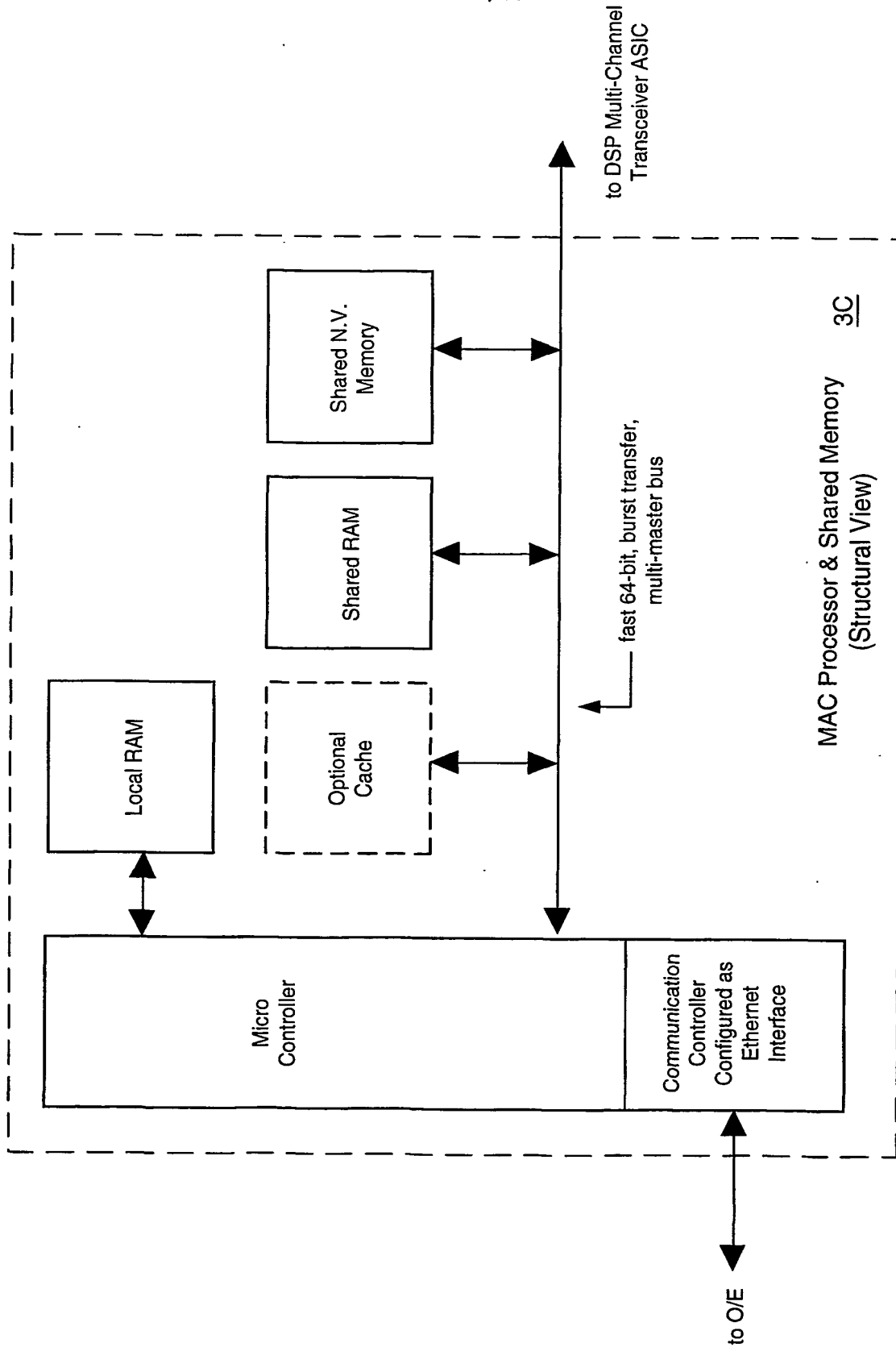


Fig. 3C

9/23

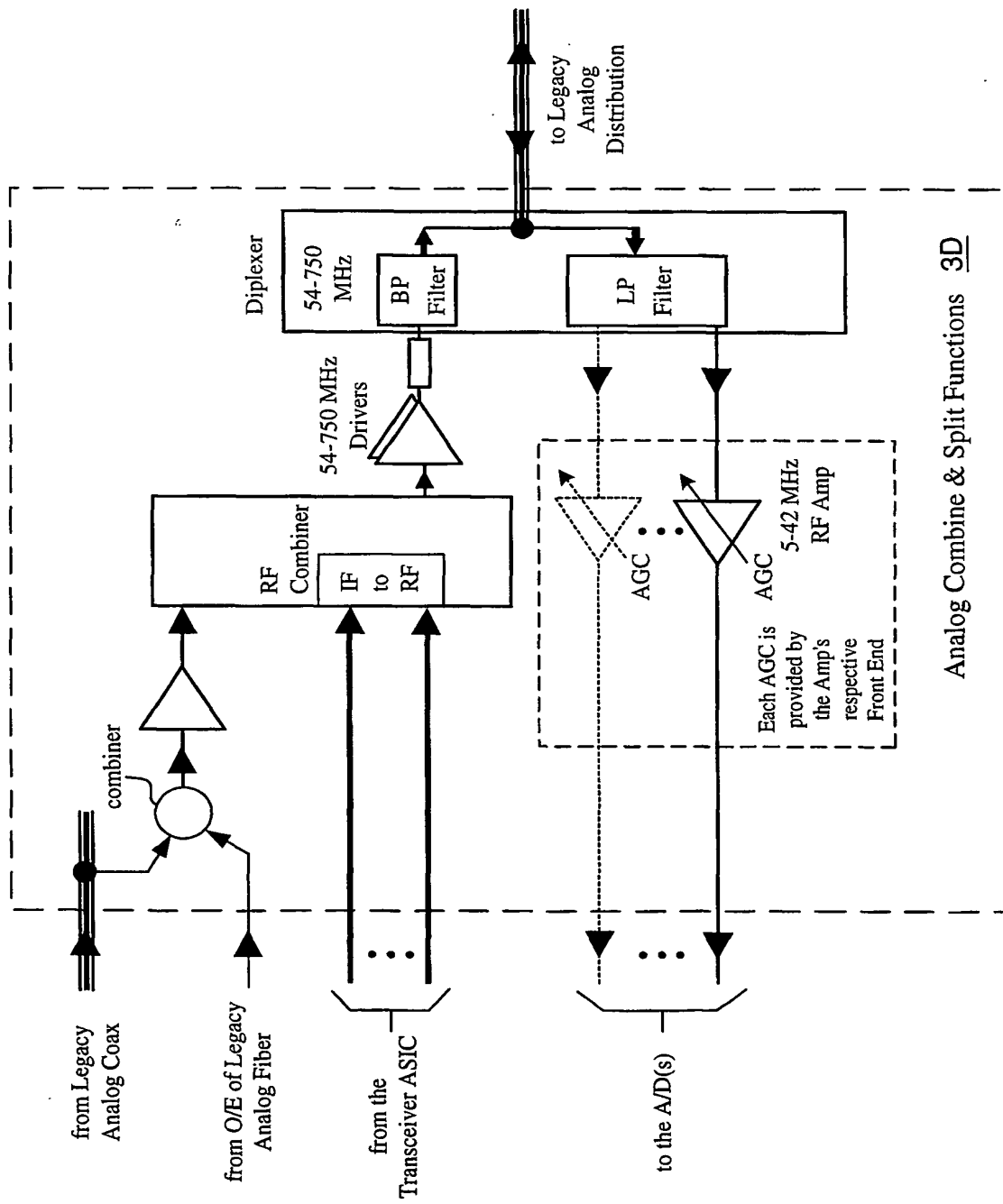
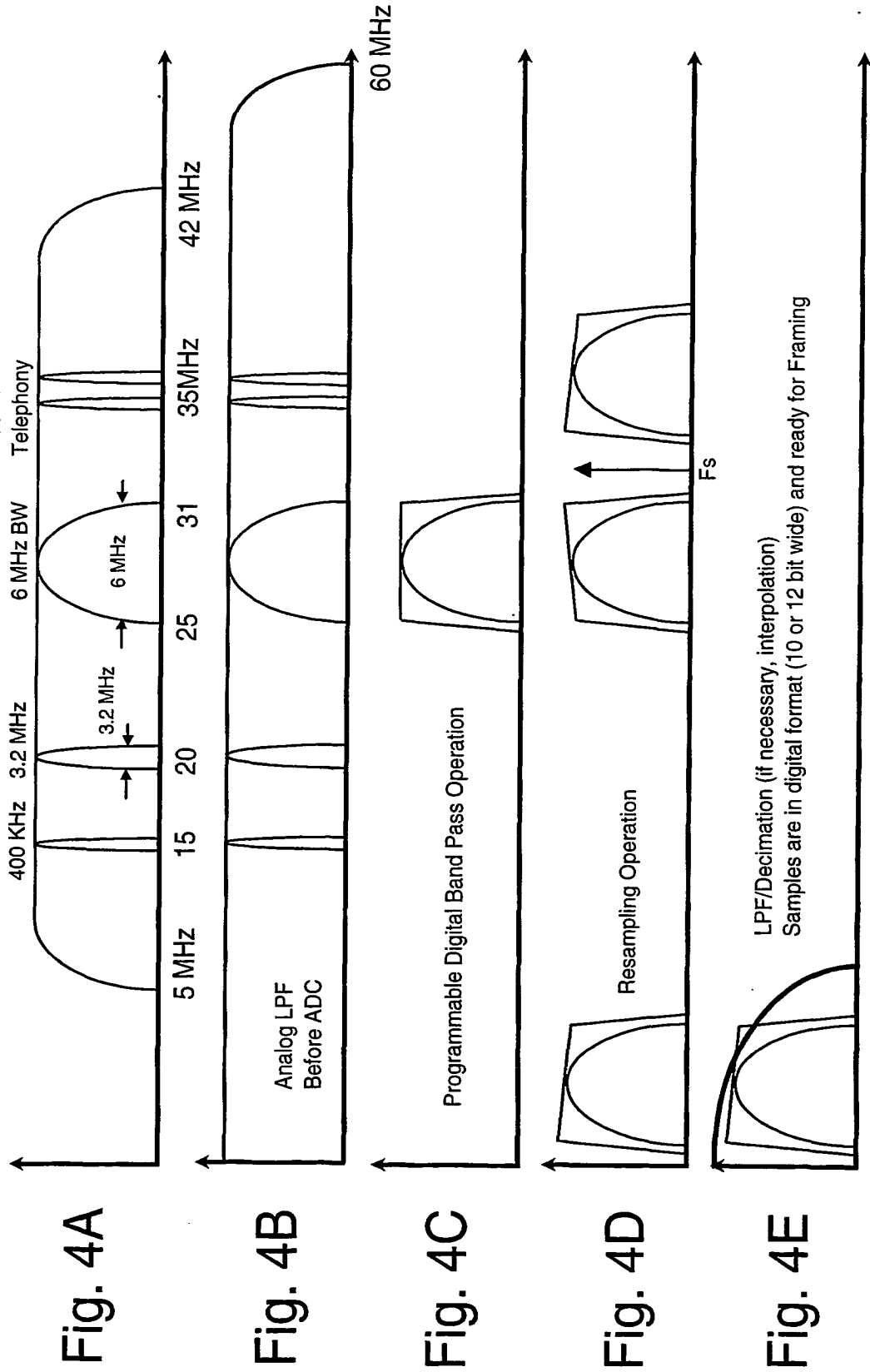


Fig. 3D

10/23



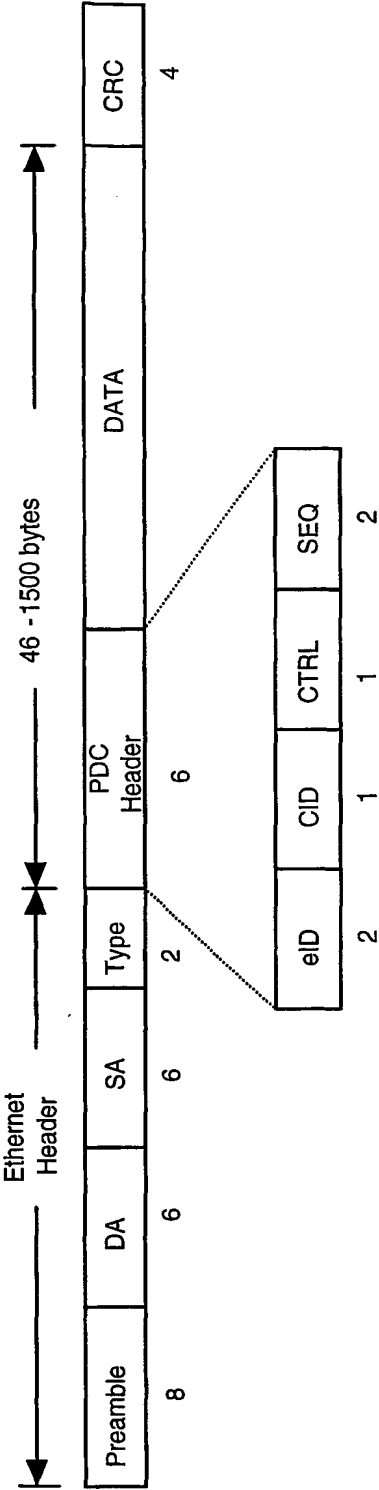


Fig. 5

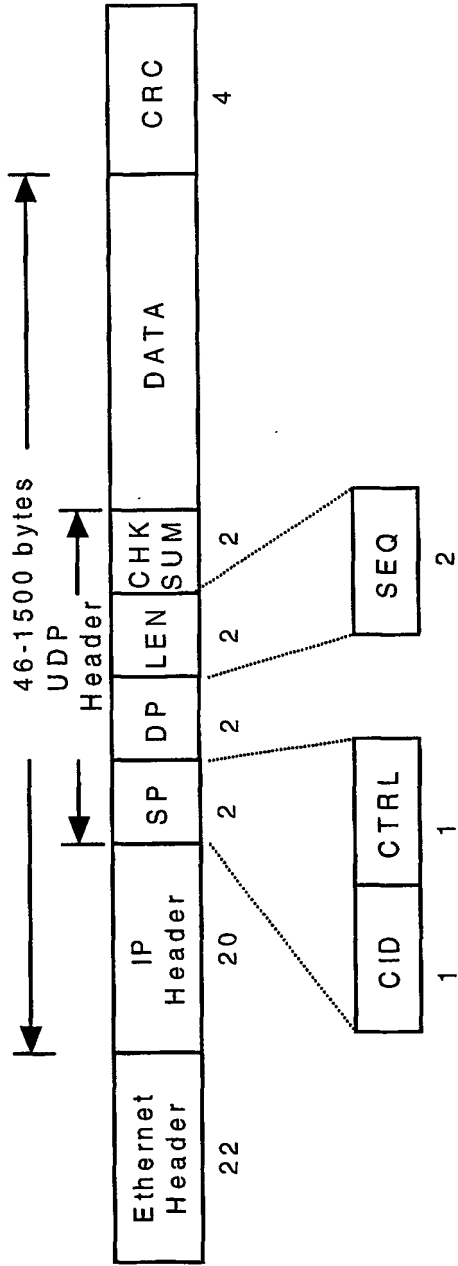


Fig. 6

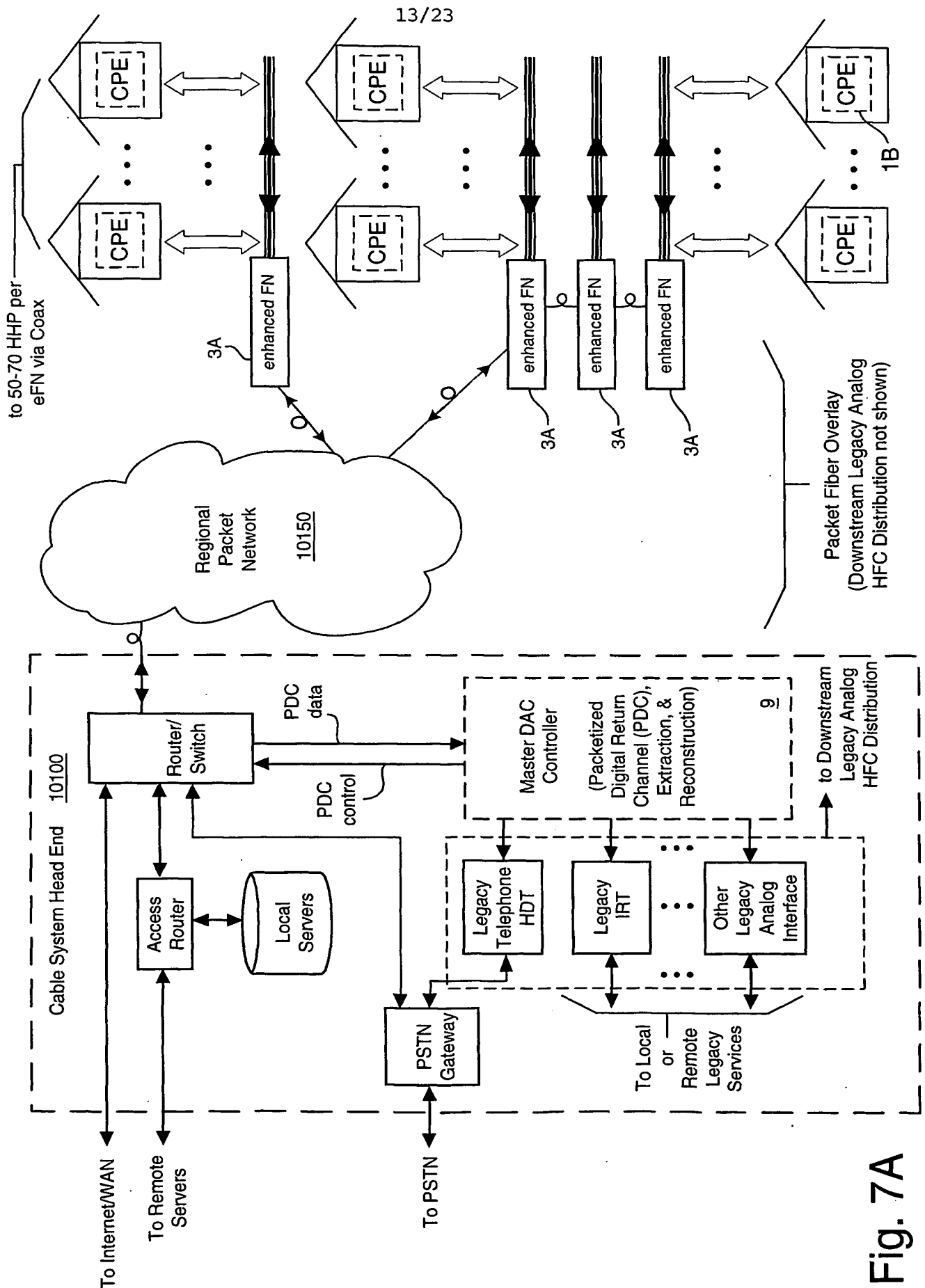


Fig. 7A

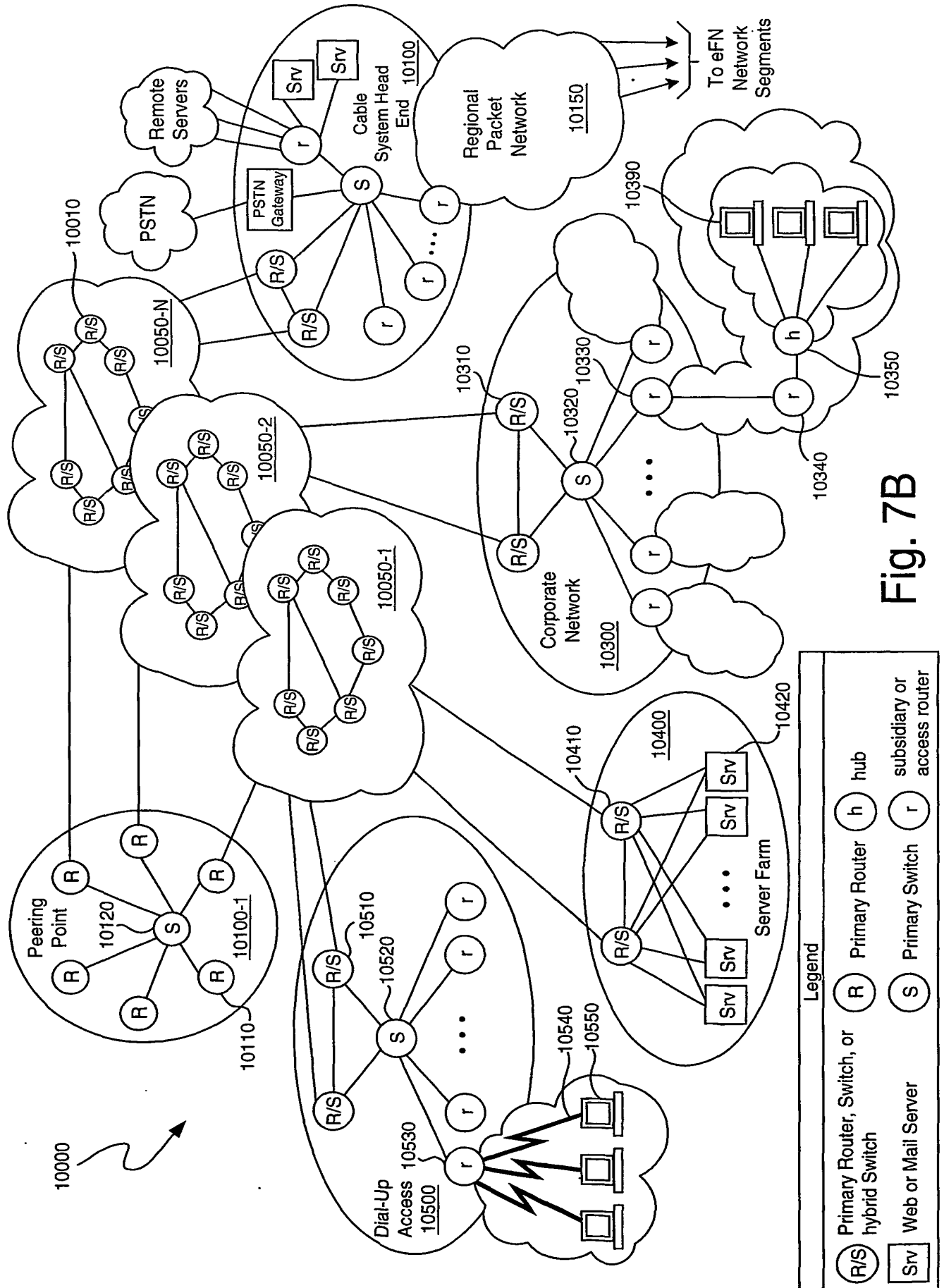


Fig. 7B



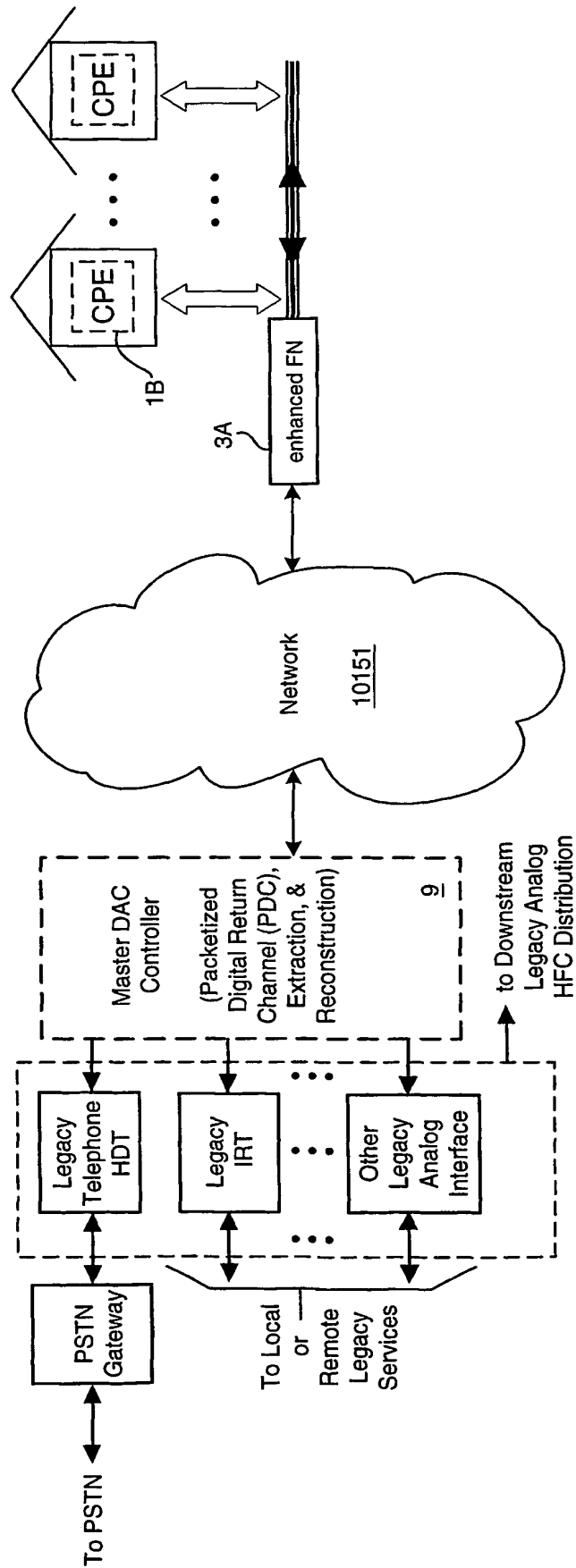


Fig. 7C

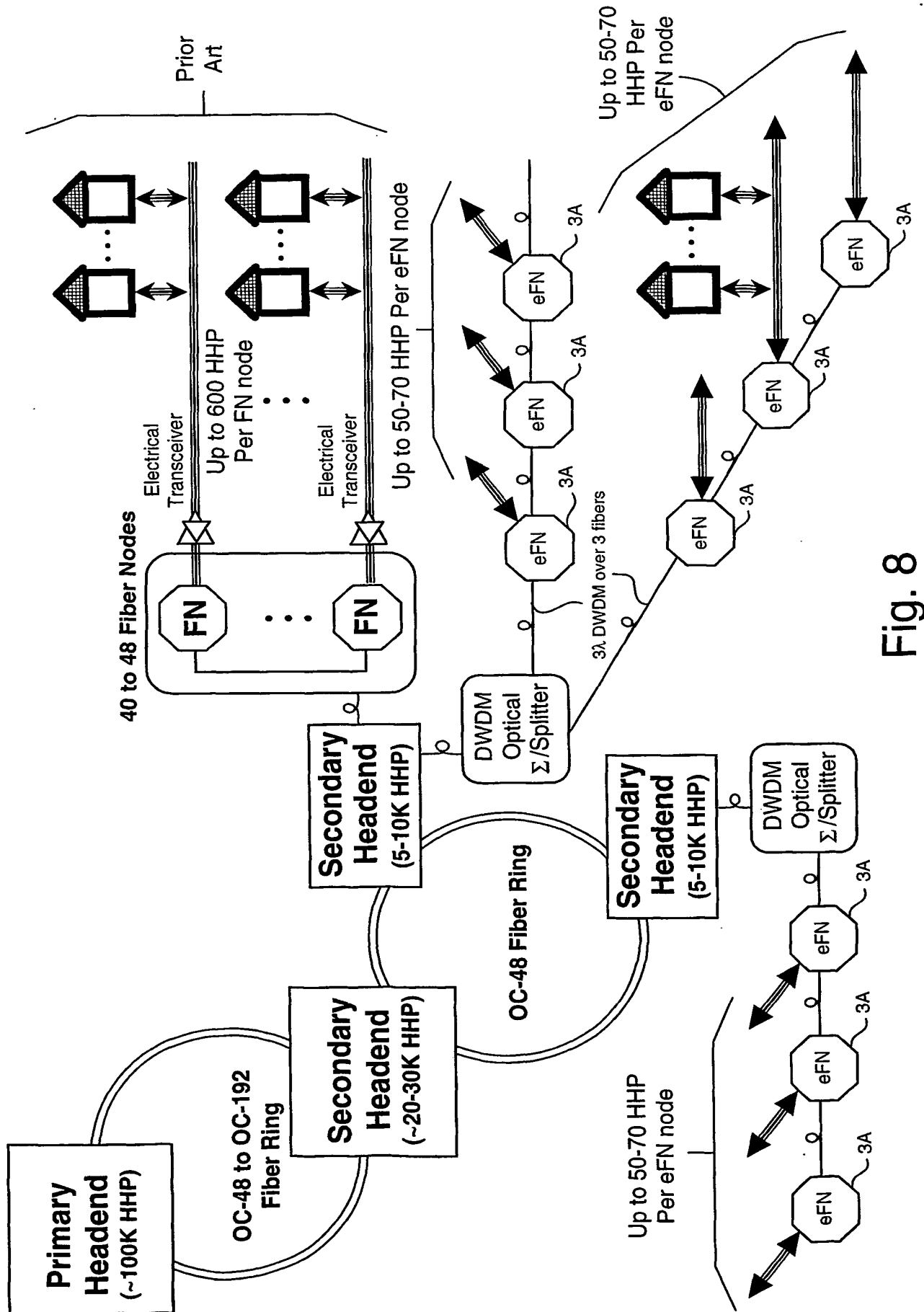


Fig. 8

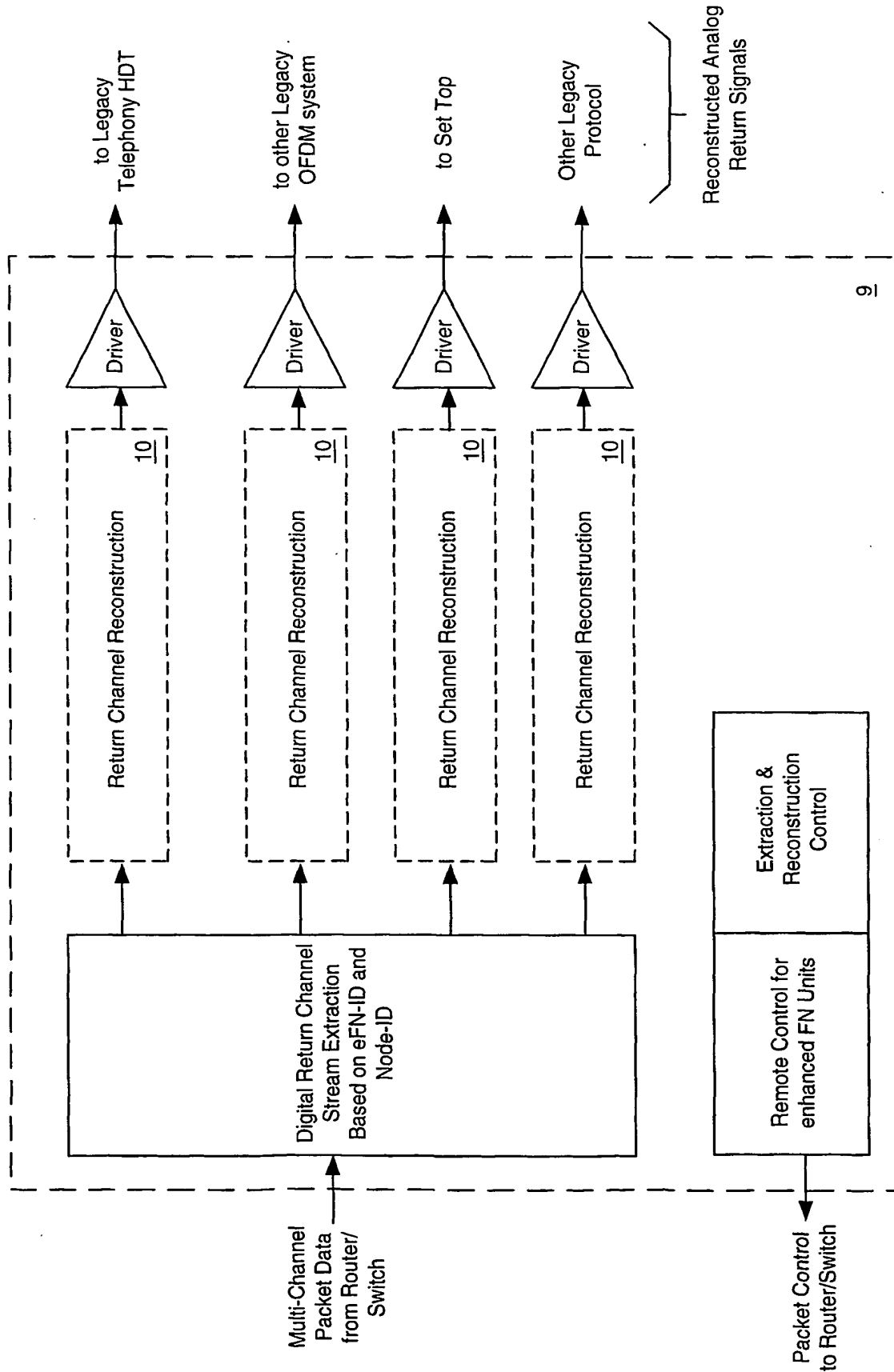


Fig. 9

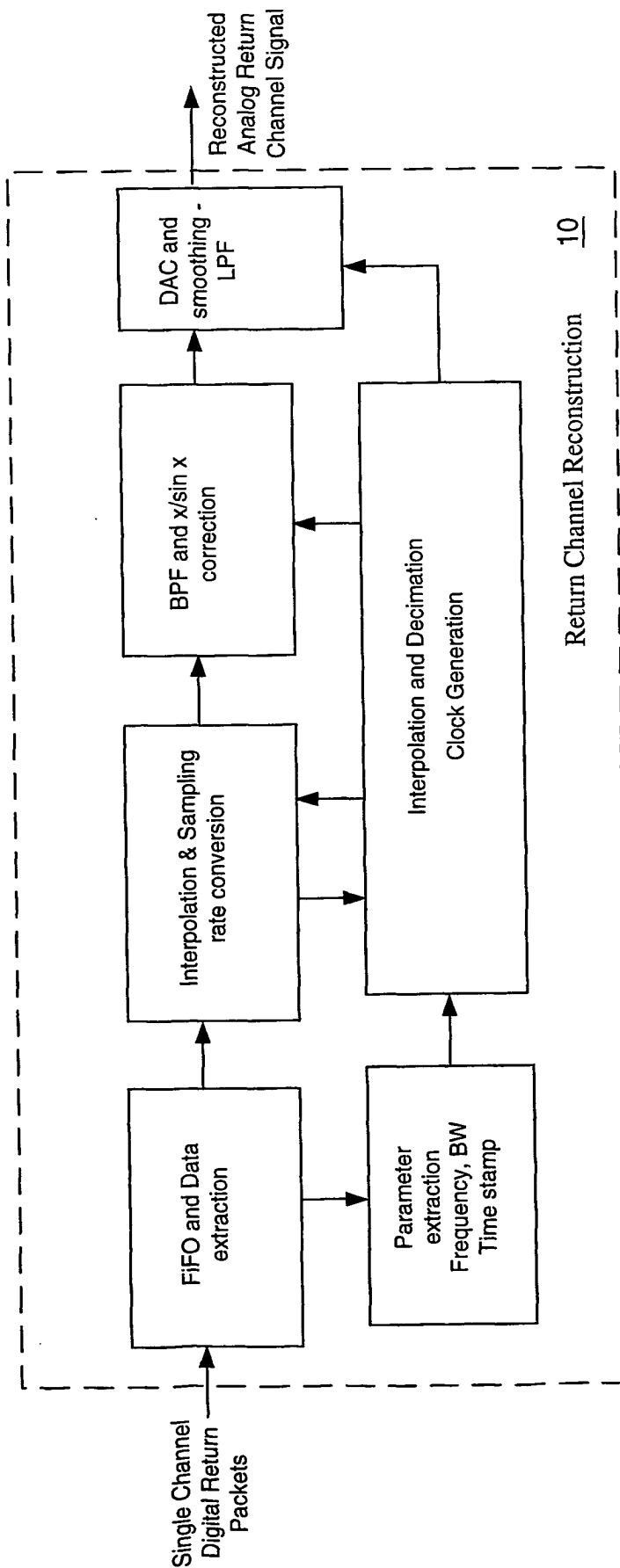


Fig. 10

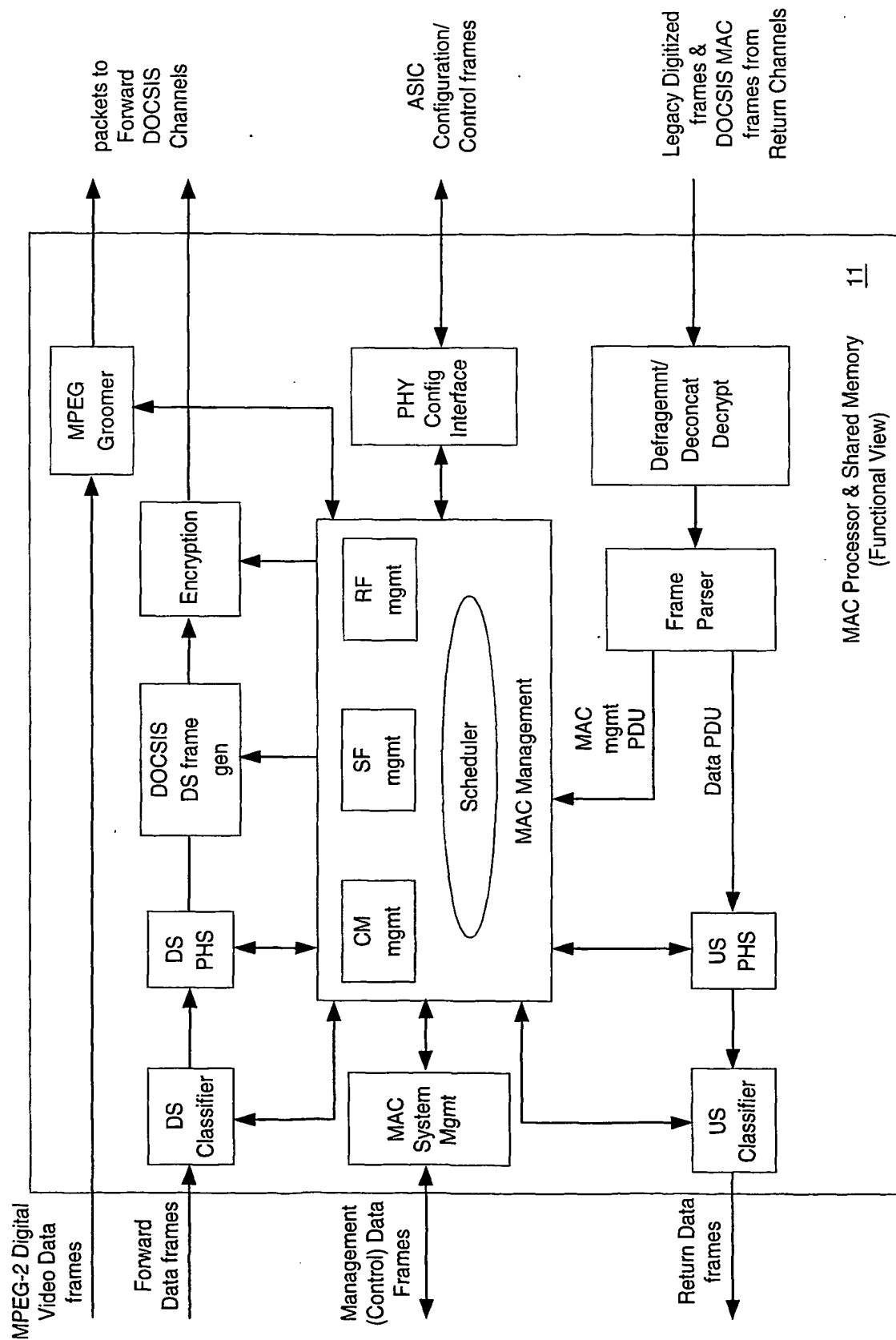


Fig. 11

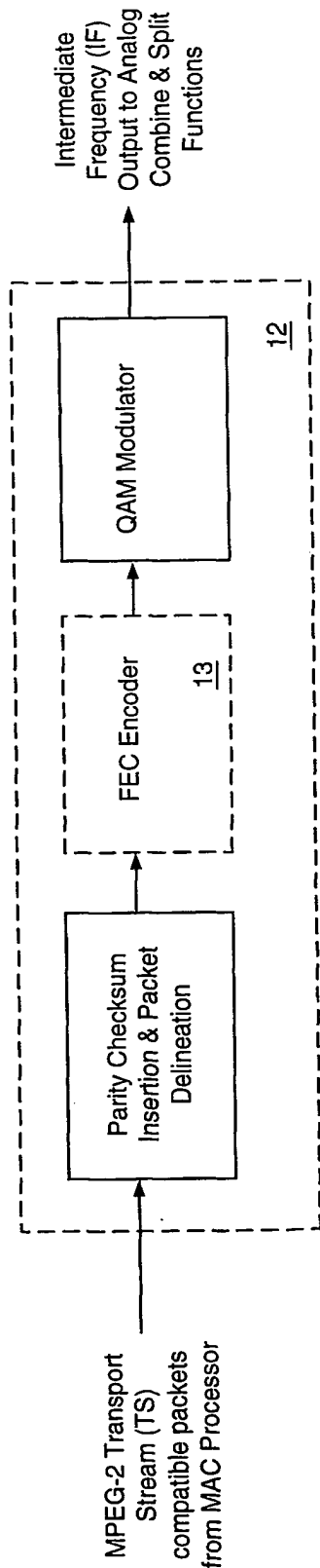


Fig. 12

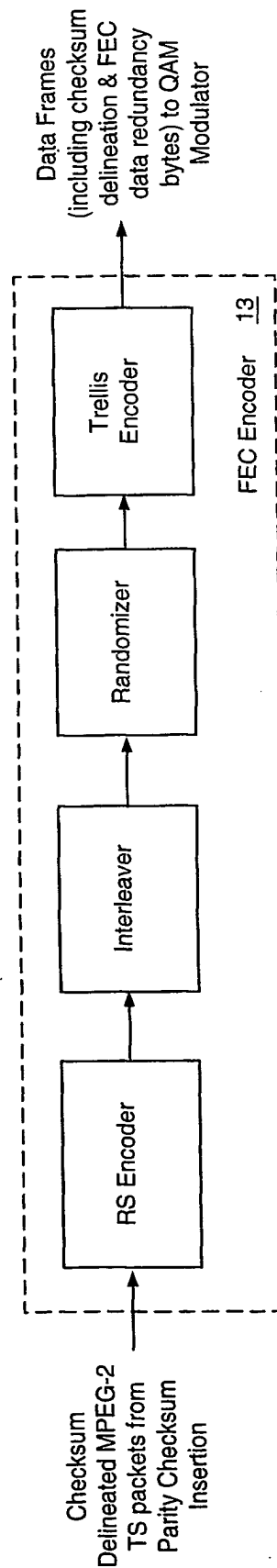


Fig. 13

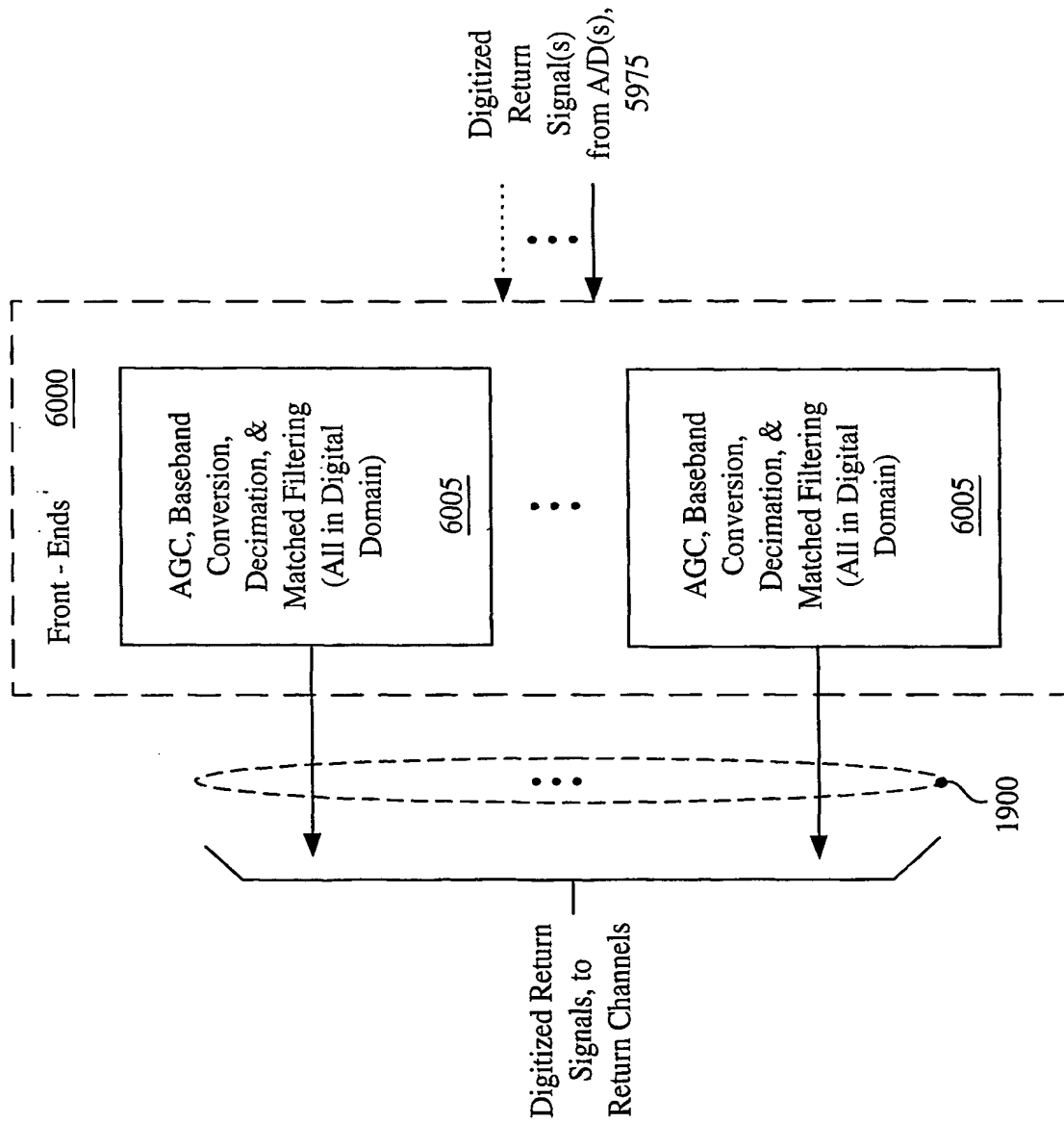


Fig. 14

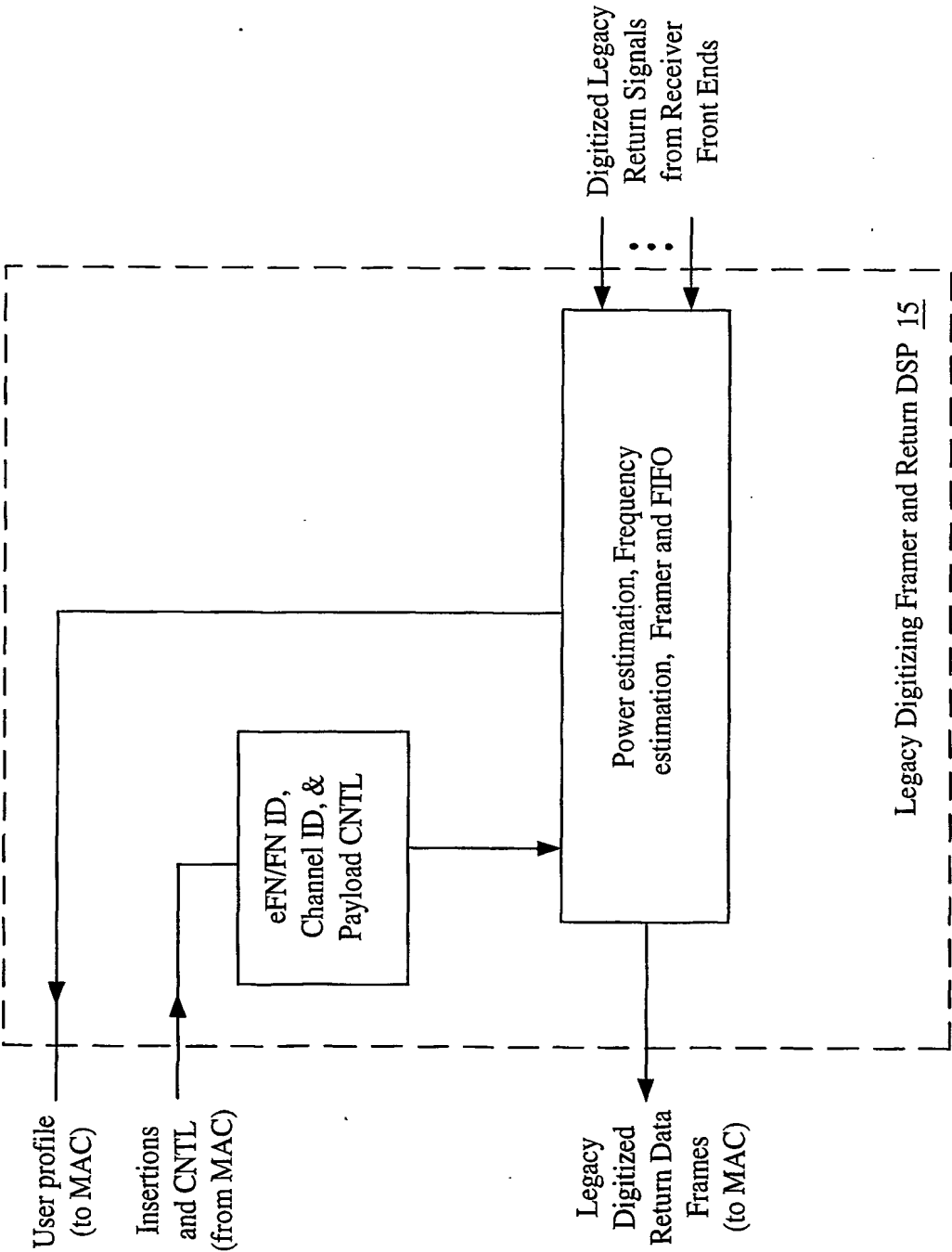


Fig. 15



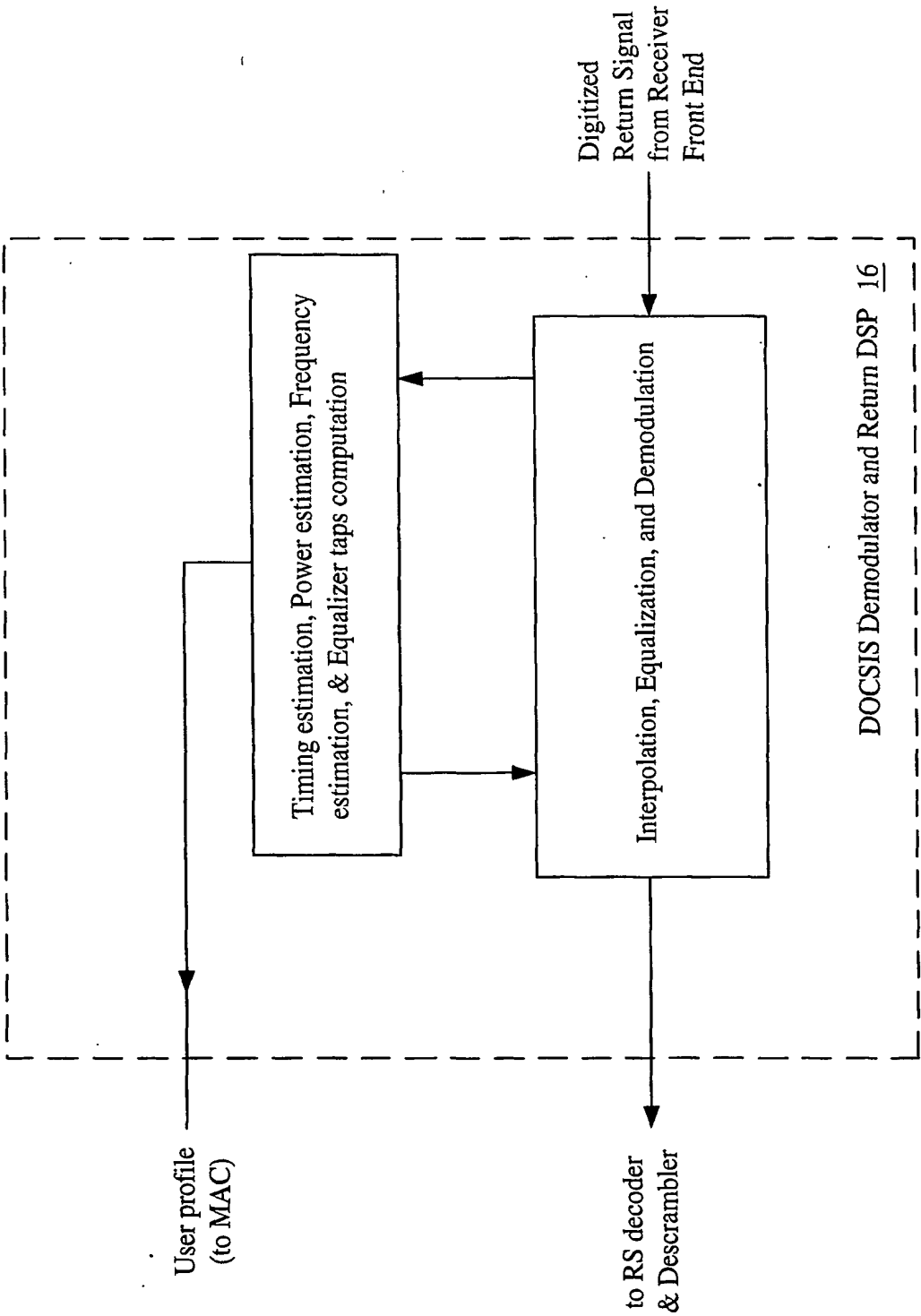


Fig. 16

**THIS PAGE BLANK (USPTO)**

(19) World Intellectual Property Organization  
International Bureau



(43) International Publication Date  
23 May 2002 (23.05.2002)

PCT

(10) International Publication Number  
**WO 02/041558 A3**

(51) International Patent Classification<sup>7</sup>: **H04N 7/173**

(72) Inventors: **LIVA, Valentino**; 954 Leonello Avenue, Los Altos, CA 94024 (US). **SHARMA, Alok**; 2272 Quail Bluff Place, San Jose, CA 95121 (US).

(21) International Application Number: **PCT/US01/45799**

(22) International Filing Date:  
15 November 2001 (15.11.2001)

(74) Agent: **JAFFER, H., David**; Pillsbury Winthrop LLP, 2550 Hanover Street, Palo Alto, CA 94304-1115 (US).

(25) Filing Language: English

(81) Designated States (*national*): AE, AG, AL, AM, AT, AU, AZ, BA, BB, BG, BR, BY, BZ, CA, CH, CN, CO, CR, CU, CZ, DE, DK, DM, DZ, EC, EE, ES, FI, GB, GD, GE, GH, GM, HR, HU, ID, IL, IN, IS, JP, KE, KG, KP, KR, KZ, LC, LK, LR, LS, LT, LU, LV, MA, MD, MG, MK, MN, MW, MX, MZ, NO, NZ, PL, PT, RO, RU, SD, SE, SG, SI, SK, SL, TJ, TM, TR, TT, TZ, UA, UG, UZ, VN, YU, ZA, ZM, ZW.

(26) Publication Language: English

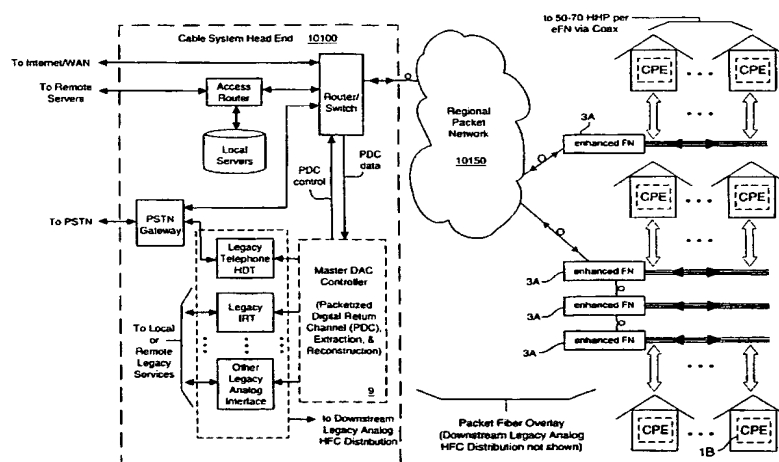
(30) Priority Data:  
09/715,992 16 November 2000 (16.11.2000) US  
09/800,397 5 March 2001 (05.03.2001) US  
608187,194 6 March 2001 (06.03.2001) US  
09/974,030 10 October 2001 (10.10.2001) US  
Not furnished 24 October 2001 (24.10.2001) US  
Not furnished 24 October 2001 (24.10.2001) US

(84) Designated States (*regional*): ARIPO patent (GH, GM, KE, LS, MW, MZ, SD, SL, SZ, TZ, UG, ZM, ZW), Eurasian patent (AM, AZ, BY, KG, KZ, MD, RU, TJ, TM), European patent (AT, BE, CH, CY, DE, DK, ES, FI, FR, GB, GR, IE, IT, LU, MC, NL, PT, SE, TR), OAPI patent (BF, BJ, CF, CG, CI, CM, GA, GN, GQ, GW, ML, MR, NE, SN, TD, TG).

(71) Applicant: **PACIFIC BROADBAND COMMUNICATIONS, INC.** [US/US]; 3103 North First Street, San Jose, CA 95134 (US).

[Continued on next page]

(54) Title: **ENHANCED FIBER NODES WITH CMTS CAPABILITY**



(57) Abstract: Enhanced Cable Modem (Fig. 7) Termination System (CMTS) functionality is incorporated into Fiber Nodes (FNs) or mini Fiber Nodes (mFNs), yielding enhanced Fiber Nodes (eFNs) (3A). These eFNs (3A) distribute CMTS functionality, by moving the cable modem terminations closer to the subscribers thereby shortening the analog RF paths required to support cable modems. Communication of both subscriber data and CMTS control data is performed over Ethernet-compatible packet networks between the CMTSs and an upstream facility (e.g., the Head End (10100)), which includes an Internet gateway. Packet data for multiple subscriber cable modems is compressed and merged over common network paths, reducing cabling plant complexity and increasing bandwidth utilization. This approach dramatically reduces the infrastructure cost per cable modem, and reduces demands on resources at the Head End (10100) for space, power, and HVAC. For HFCN channels containing signals with modulation or encoding schemes that are unknown or best processed upstream, tunnelling is provided.

WO 02/041558 A3



**Published:**

- with international search report
- before the expiration of the time limit for amending the claims and to be republished in the event of receipt of amendments

*For two-letter codes and other abbreviations, refer to the "Guidance Notes on Codes and Abbreviations" appearing at the beginning of each regular issue of the PCT Gazette.*

**(88) Date of publication of the international search report:**

11 July 2002

# INTERNATIONAL SEARCH REPORT

International application No.

PCT/US01/45799

## A. CLASSIFICATION OF SUBJECT MATTER

IPC(7) : H04N 7/173

US CL : 725/111, 119, 127

According to International Patent Classification (IPC) or to both national classification and IPC

## B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)

U.S. : 725/105, 109, 110, 111, 118, 119, 127

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)

## C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
A	US 5,841,468 A (WRIGHT) 24 November 1998 (24.11.1998), Abstract	1-49
X	US 5,361,091 A (HOARTY et al) 01 November 1994 (01.11.1994), Abstract, fig. 5-8, columns 13-15, lines 19-25	1, 28, 29
A, P	US 6,236,678 B1 (HORTON, JR et al) 22 May 2001 (22.05.2001), Abstract	1-49
X	US 5,878,325 A (DAIL) 02 March 1999 (02.03.1999), Abstract, figs. 1-3,	1, 28, 29
A	US 5,528,582 A (BODEEP et al) 18 June 1996 (18.06.1996), Abstract, fig. 2-4, label 200	
A,P	US 6,233,235 B1 (BURKE et al) 15 May 2001 (15.05.2001), figure 1	2-3, 30-31

☐ Further documents are listed in the continuation of Box C.

☐ See patent family annex.

* Special categories of cited documents:	"T"	later documents published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
"A" document defining the general state of the art which is not considered to be of particular relevance	"X"	document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
"E" earlier application or patent published on or after the international filing date	"Y"	document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art
"L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)	"&"	document member of the same patent family
"O" document referring to an oral disclosure, use, exhibition or other means		
"P" document published prior to the international filing date but later than the priority date claimed		

Date of the actual completion of the international search

04 April 2002 (04.04.2002)

Date of mailing of the international search report

03 MAY 2002

Name and mailing address of the ISA/US

Commissioner of Patents and Trademarks  
Box PCT  
Washington, D.C. 20231

Facsimile No. (703)305-3230

Authorized officer

Andrew Faile

Telephone No. (703) 305-3231

*Rugenia Zogan*

Form PCT/ISA/210 (second sheet) (July 1998)

**THIS PAGE BLANK (USPTO)**

**This Page is Inserted by IFW Indexing and Scanning  
Operations and is not part of the Official Record**

**BEST AVAILABLE IMAGES**

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

- ☐ BLACK BORDERS
- ☐ IMAGE CUT OFF AT TOP, BOTTOM OR SIDES
- ☒ FADED TEXT OR DRAWING
- ☐ BLURRED OR ILLEGIBLE TEXT OR DRAWING
- ☐ SKEWED/SLANTED IMAGES
- ☐ COLOR OR BLACK AND WHITE PHOTOGRAPHS
- ☐ GRAY SCALE DOCUMENTS
- ☒ LINES OR MARKS ON ORIGINAL DOCUMENT
- ☐ REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY
- ☐ OTHER: \_\_\_\_\_

**IMAGES ARE BEST AVAILABLE COPY.**

**As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.**

**THIS PAGE BLANK (USPTO)**